DOCUMENT RESUME

ED 308 873 IR 052 827

AUTHOR	Daval, Nicola, Ed.; Merrill-Oldham, Jan, Ed.
TITLE	Preservation: A Research Library Priority for the 1990s. Minutes of the Meeting of the Association of Research Libraries (111th, Washington, D.C., October 21-22, 1987).
INSTITUTION	Association of Research Libraries, Washington, D.C.
PUB DATE	88
NOTE	126p.; For the minutes of the 110th meeting, see ED 290 484.
AVAILABLE FROM	Association of Research Libraries, 1527 New Hampshire Avenue, NW, Washington, DC 20036 (members $18.00/year; nonmembers $30.00/year).
PUB TYPE	Collected Works - Conference Proceedings (021) -- Viewpoints (120) -- Reports - Descriptive (141)
EDRS PRICE	MF01/PC06 Plus Postage.
DESCRIPTORS	Academic Libraries; Higher Education; *Library Administration; Library Associations; *Library Planning; *Library Services; Preservation; Research Libraries
IDENTIFIERS	*Association of Research Libraries; *Book Preservation

ABSTRACT

These minutes of the October 1987 ARL (Association of Research Libraries) membership meeting include the following papers on preservation in the research library: (1) "A Challenge for Research Libraries" (David C. Weber); (2) "The Moral Imperative of Conservation" (James H. Billington); (3) "The Role of the Library Director: Wherefore and Wherewithal" (William J. Studer); (4) "The Preservation Program Defined" (Jan Merrill-Oldham); (5) "Staffing the Preservation Program" (Carolyn Clark Morrow); (6) "Prospective Preservation" (Wesley L. Boomgaarden); (7) "Preservation Selection and Treatment Options" (Barclay W. Ogden); (8) "Preservation Planning and Perspective" (R. Gay Walker); (9) "The Responsibility of Leadership: Making It Happen" (Patricia Battin); (10) "A View from the Sidelines" (James M. Morris); (11) "Preservation on the International Front" (Merrily A. Smith); and (12) "A Time To Act" (David C. Weber). Minutes of the business meetings are also provided. Appendixes include ARL bylaws; the executive director's report; an Office of Management Studies report; attendance lists; lists of officers and board and committee members of the ARL; and an ARL membership list. (MES)

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ISSN 0044-9652

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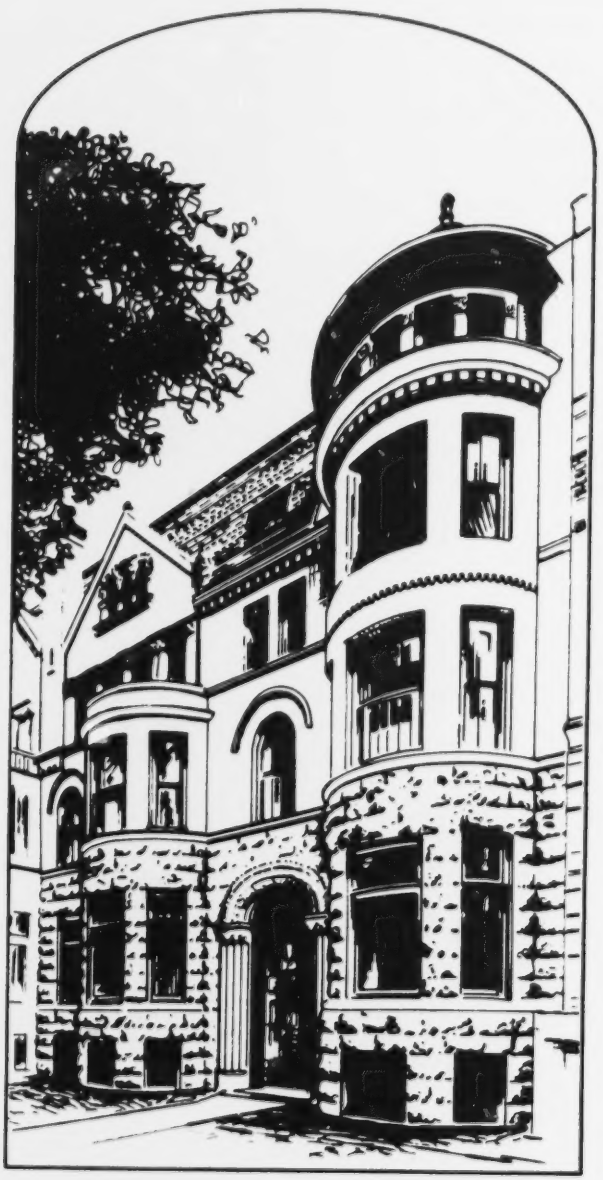
October 21-22, 1987
Washington, D.C.

Minutes of the 111th Meeting



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Preservation: A Research Library Priority for the 1990s

Minutes of the 111th Meeting

October 21-22, 1987
Washington, D.C.

1988
Association of Research Libraries
Washington, D.C.

Minutes of the meetings of the Association of Research Libraries are published semiannually by the Association, 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036.

Price: ARL Members: $18.00 per year, $9.00 an issue
Nonmembers $30.00 per year, $15.00 an issue

Editor: Nicola Daval
Association of Research Libraries

Program papers edited by:
Jan Merrill-Oldham
University of Connecticut

Association of Research Libraries
Minutes of the meeting. 1st-
Dec. 1932-
[Princeton, N.J., etc.]
v. 28 cm.
Meetings are numbered irregularly: 9th-10th, 12th called respectively: 10th-11th, 13th.
INDEXES:
Subject index.

1st-42d, Dec. 1932-Jan. 1954. 1 v.

Z673.A84 59-30046

Library of Congress [ ]

Printed in U.S.A. ISSN 0044-9652

The paper used in this publication meets the minimum requirements of American National Standard for Information Sciences—Permanence of Paper for Printed Library Materials, ANSI Z39.48-1984.

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Association of Research Libraries

Minutes of the 111th Meeting

Herbert F. Johnson, *Presiding*

The 111th Membership Meeting of the Association of Research Libraries was held in Washington, D.C., October 21-22, 1987. Business Meeting, Session I, convened at the Omni Georgetown Hotel on Wednesday, October 21. The program session, *Preservation: A Research Library Priority for the 1990s*, and Business Meeting, Session II, took place in the Mumford Room at the Library of Congress on Thursday, October 22.

INTRODUCTION

A CHALLENGE TO RESEARCH LIBRARIES

DAVID C. WEBER
Director of Libraries
Stanford University

Acknowledging the need for research libraries to meet the challenge of deteriorating and endangered collections, the papers presented at this meeting provide an informed picture of preservation program design and management components, planning methods, and problem-solving strategies; and present several special perspectives on preservation issues. It may be recognized how exceptionally important these papers are when one studies the goals and objectives that the Association of Research Libraries intends to pursue in the years ahead, as outlined in the ARL Five-year Plan.[1] The third objective (of six) commits the Association to "increas[ing] the number of member libraries engaged in programs to preserve their collections."

ARL and its Committee on Preservation of Research Library Materials have attempted to meet this objective in various ways. For example, "Guidelines for Minimum Preservation Efforts" were prepared and were approved by the ARL membership in October 1984; a survey has been conducted to assess the preservation program needs of member libraries; a methodology for preservation program planning has been developed through the Office of Management Studies [renamed the Office of Management Services in 1988]; preservation statistics from member libraries have been compiled and published; and funding has been secured from the Andrew W. Mellon Foundation for the writing of *Preservation Microfilming: A Guide for Librarians and Archivists*,[2] and from the National Endowment for the Humanities and the Andrew W. Mellon Foundation to convert the *National Register of Microform Masters* to machine-readable form for input into the Research Libraries Information Network (RLIN)—operated by the Research Libraries Group, Inc.—and Ohio Computer Library Center (OCLC) bibliographic databases. The latter project is currently underway.

These and other activities indicate the degree to which the Association has responded to the formidable task of assessing preservation needs, identifying ways to meet them, and measuring progress. ARL members recognize evidently the importance of this effort. In addition to contributing to overall planning strategies and cooperative efforts to accomplish major projects, we are shaping local preservation programs in an attempt to meet our collective obligation to preserve the whole range of materials that are in our care, and on which future students and

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[1] The ARL Five-Year Plan was adopted by the membership in May 1983, and was implemented in 1984.

[2] *Preservation Microfilming: A Guide for Librarians and Archivists*, edited for the Association of Research Libraries by Nancy E. Gwinn (Chicago, American Library Association, 1987).

preserve the whole range of materials that are in our care, and on which future students and scholars will be dependent.

A few statements of fact may suggest why preservation programs so urgently need our attention:

- A study sponsored by the Council on Library Resources and conducted in 1986-87 confirmed that library users do indeed find brittle books a real obstacle in meeting their own academic responsibilities.

- A small number of ARL libraries devote even five percent of the library budget to preservation programs.

- A majority of ARL members do not yet meet the ARL "Guidelines for Minimum Preservation Efforts."

- There is a deplorably inadequate number of trained preservation specialists available to fill administrative and technical positions.

- Physical quarters for conducting preservation programs are almost always poor, relegated to inefficient nooks and crannies.

- Collections are being physically damaged and paper is becoming brittle faster than we are now tackling the problem.

Our responsibility to safeguard our research collections for future generations does indeed constitute a significant challenge for libraries throughout the world--and is a research library priority for the 1990s.

THE MORAL IMPERATIVE OF CONSERVATION

James H. Billington
Librarian of Congress

"Exile is caused by forgetfulness, and the secret of redemption is memory," wrote Baal Shem-Tob, the founder of Hassidic Judaism, as he delved into past tradition in order to move beyond the complacencies and rigidities of his own time. This ultimately is what preservation is all about—not so much burrowing back to the remnants of past reality, but rather, widening the horizon of future possibility. And it is precisely the complexity, uncertainty, and looming terrors of that future that make the legacy of the past in our time not just a marginal luxury item for the casually curious, but an unrenewable natural resource indispensable to all of us.

Let us begin at the simplest level with the imperative we all feel within our own families to transmit some things that came from our parents on to our children. The most important parts of that legacy are of course immaterial values, ideals, learning, and discipline; but because these intangibles are so often expressed, if not embodied, in material forms—letters, books, pictures, collections, objects—the healthy family (the nucleus of all civilizations that endure) is concerned with conserving and transmitting its own version of the sacred relics, icons, and texts of the Church.

This is also true of that wider circle of geographic, ethnic, and/or religious communities that fulfill for many of us some of the classic functions of an extended family; and of our common American family. The climactic final moment of perhaps the greatest American film ever made, *Citizen Kane*, depicts the burning of an artifact from the past, the sled named Rosebud--haunting us with the suggestion that overreaching ambition may kill not only people of one generation, but the possibility for future generations of the redemption that always somehow seems inherent in the survival of things impregnated with memory.

We feel a particular need to save things from the past whenever we confront changes in the present that create fear for the future. In our personal lives, we generally defer decisions on what to preserve from our own families until confronted with some traumatic transformation caused by the death of a loved one, the final departure of our children, or the move to a new home or community. In our broader communities as well, the passion to conserve and the need to choose generally arise in times of crisis (for which the Chinese character is compounded from the words for danger and for opportunity).

Finally, in the last two centuries, as Europe divided into nations and imparted the secular religion of nationalism to all the world, each great nation seemed compelled to go back to rediscover—in some cases virtually to invent—a past that could give coherence and a sense of belonging to an uprooted people in an age of urbanization; a sense of poetry in an age of industrialization.

And so there is our primordial need to gather together the artifacts of shared memory--which we must, if we are to live with any sense of shared community. Thus libraries, museums, and antiquarian passions of all sorts have proliferated precisely in our own times of rapid technological and social change.

But the importance of conserving the past lies not just in the therapeutic value, to any

community, of common symbols and shared memory. The authentically preserved artifact or text presents us with instructions about where we are and where we might be going, as well as indications about where we have been. One of our greatest living critics, Northrop Frye, has wisely said that "the rear view mirror is our only crystal ball." Time and again we find that the inspiration for genuine innovation in modern times has come from a return to something old—from an effort to rediscover forgotten or neglected elements of the past. There is a direct link between Viollet le Duc's efforts to restore the ancient Gothic and the birth of modern architecture through the first Chicago School of Jenney, Root, and Sullivan a century ago.

There is an even deeper link between the restoration of ancient icons—of the richness of their colors and patterns of their lines—at the beginning of this century in Russia, and the birth of modern painting through figures as otherwise diverse as Kandinsky, Malevich, and Chagall; and between the recovery of ancient oral folklore and the birth of most modern national ideologies and vernacular literature. Perhaps the most dramatic single moment in the emergence of modern music came with the premier in 1913 of Stravinsky's *Sacre du Printemps*, an attempted return to pagan antiquity. Schoenberg pursued a different, if parallel, path to innovation by going back to earlier Viennese traditions. His compatriot, Egon Schiele, wrote in 1912, "Art cannot be modern; it always goes back to origins."[1] One wonders if it is altogether accidental that the plunge into artistic innovation on the eve of World War I occurred most deeply in precisely those two realms, the Romanov and Hapsburg Empires, where antiquity and tradition seemed most securely enshrined and where memory was forever intruding on imagination.

Dead objects present us with challenges of a kind that only the greatest of live subjects ever succeed in confronting us with. Mute witnesses from the past are better than talking heads in the present in eliciting from us deep, individual human reactions. When you develop ideas through dialogue and interaction with other people there are often games going on—certain elements of politics, psychodrama, and even showmanship. But when you are alone with a book or an artifact there is neither any limit on what you can do nor any excuse for not extending your own limits. You are prodded to develop the technical expertise to deal with the book or artifact, the imagination to interpret it, and the moral responsibility not to pretend you know more than you do as you mediate the past to the present.

Though there is a special intensity of excitement for the person who first discovers a text or recovers a context, some of that exhilaration can be shared by almost anyone. For every artifact from the past is both the product of human beings with whom we have something in common and the expression of unique and unrepeatable circumstances different from our own. Unlike the teacher who explains or the exhibitor who labels, the object itself gives no answers; it only gives rise to questions. It beckons us on to both mastery and mystery, challenging us simultaneously to master enough material to understand the created object and, at the same time, to sense the immaterial mystery of the subject who created it and of creation itself. It is a form of occupational therapy for a disturbed humanity—a form of recreation that literally involves re-creation.

If, indeed, the secret of redemption is memory, libraries and museums provide fragments of the secret—parts of the cosmic jigsaw puzzle. Each piece acquires more beauty and suggests more order as it is fitted in with others; and each of us in some degree seeks to master the art of fitting some of those pieces together. There is, in our lonely interactions with the primary objects of the past, that which teases us out of thought through silence and slow time into the deep mystery of human achievement, anguish, and aspiration.

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[1] Inscribed by Egon Schiele on a drawing in 1912.

The preserver, restorer, conserver is the indispensable, primary living link in the human chain that connects yesterday's accomplishments with tomorrow's possibilities. Arthur Lovejoy, who founded the distinctively American tradition of the history of ideas, describes in his classic essay on the Great Chain of Being[2] how the medieval religious struggle for salvation, in man's middle state between the angels and animals within a vertically created order, became transposed in modern times into the secular image of an emancipated humanity advancing horizontally forward from past darkness to future enlightenment.

I personally prefer the older image. Having found more than a little light in the past and darkness at noon in the present, I would never be comfortable with any purely horizontal, secular view of life. But whichever way you define humanity's middle state, we can describe the humanistic enterprise in which we are all engaged as essentially one of exploration. We are the explorers, the investigative reporters, of humanity's messy, intermediate region where the supernatural and natural intersect. It is the fallible, fragile, fabulous world of real people who are forced to live simultaneously with both mastery and mystery. We are all in truth both fallen angels seeking mastery of what is true, and naked apes confronting the mystery of what is good and beautiful.

Those who restore and conserve the record of this middle state are the crucial first link in a great chain—not of being, but of becoming. I was asked a few years ago by someone I had taught, and who had gone into public life, if there were any great work of literature from the past that might help him make a difficult decision. I fear that I was not much help, but insofar as I was able to suggest anything useful, it was a small part of the chain of becoming in which *he* was the crucial link—the one that extended out into society and on into the future. As I struggled between suggesting a play of either Sophocles or Ibsen, I realized that I too was reaching back on that chain not only to those distant authors and their anchors in some bedrock of truth, but for the links to them that had been extended to me by the teachers and actors that had mediated those authors' works to me. We all need living connections with past experience and achievement the way mountain climbers need a lifeline. And the golden link is memory, which—in the words of the rabbi—keeps us from exile and points us to redemption.

Of course the ultimate aim of humanistic exploration in our middle state—that is, attaining the mastery of self needed to enhance the mystery of creation—is itself redemptive. The way to get there is always tortuous. We zigzag between contemplation and confrontation in our lives, and between taking things apart and putting them together in our work. If we who preserve and transmit the past are to act as guides for others, we must ourselves learn to steer by the stars and not just by conventional maps. There are three fixed stars to steer by in our continuing efforts to recover and discover: the true, the good, and the beautiful.

Truth is the North Star of all our explorations. The pursuit of truth is the highest form of the pursuit of happiness, the surest way to keep us from the pursuit of each other, the only arena (in an era of growing physical limitations) in which the horizons of freedom can safely still remain infinite. This pursuit is not a competitive rat race, but a cumulative, cooperative, distinctively human activity that constantly requires that other people challenge our findings, refine our methods, and correct our pretensions—for in our imperfect middle state we sometimes claim to possess the truth in order to mask our unwillingness to pursue the good. The Jewish philosopher Franz Rosenzweig has said that truth is a noun only for God; for us it is always a verb.

It is an active verb for those who piece together fragments of the pottery or poetry of the

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[2] Arthur O. Lovejoy, *The Great Chain of Being: A Study of the History of an Idea*. The William James Lectures delivered at HArvard University, 1933. (Cambridge, Mass.: Harvard University Press, 1936).

past, not just because some future Keats might someday see and sing about it, but because the very act of piecing something together that might otherwise crumble into dust is part of humanity's own stumbling struggle to endure—what the French call *le dur désir de durer.* The act of fitting fragments together is part of our striving for wholeness, and the act of placing text into context is part of a process that helps us become truer, fuller beings.

But the preservation of memory and the conservation of the primary artifacts of humane learning have a special urgency even as they offer special opportunities to the United States of America, above and beyond their general importance for all humanity. Preservation is specially needed in America precisely because of our present-mindedness, our preoccupation with innovation and youth, and the creeping passivity and shortened attention spans inculcated by our video culture of instant gratification. The flood tide of sex, violence, and sheer noise that characterize that culture threatens us with a barbarism from within no less dangerous than that of vandals from without.

We have a need to preserve and celebrate the pluralities as well as the unity in our amazingly inventive national culture. By world standards, however, we are still a young nation historically, with relatively few dramatic ruins from war (except in the South) or architectural wonders from previous civilizations (except from Native Americans). We need, therefore, as a people, to supplement the inventory of our relatively short and exceptional national experience, so that we can better deal with the international community with which we are increasingly interinvolved.

Perhaps there is something providential and not merely sociologically interesting in the gradual recovery we have begun to make in this country of our African as well as our European heritage—and in the fact that our latest immigrants into this country and into the American dream tend to come from precisely those Latin regions to the south and those Asian regions to the east that we may understand least—yet have the greatest need to relate to in the coming years.

In my own efforts to study (and sometimes deal with) our major international protagonist, the Soviet Union, I have felt aided at times by my real passion, which is the humanistic study of deep Russian culture. For that disturbed and mighty nation is more than just the last and most heavily armed of the great Eurasian world empires, ruled by the most threatening of secular revolutionary ideologies—more even than the sum of all the reform programs that new leaders may devise to modernize the world's largest network for political manipulation.

My studies, which focus on the great works of Russian thought and culture, lead me to the people beneath the power—and to a belief that plunging more deeply into their past achievements may not be altogether irrelevant to understanding more broadly their future possibilities. Russians have, for instance, a great and resilient religious tradition that has permeated their culture, though it has hardly penetrated our consciousness and is almost entirely absent from our curricula. I have recently returned from a remarkable international conference hosted by the Russian Orthodox Church in anticipation of the Millennium next year of the coming of Christianity to the Eastern Slavs. It was exciting to see scholars from the secular Academy of Sciences participating in large numbers, for the first time in decades, in a major Church-sponsored convocation within an officially atheistic state.

The current ferment of a new generation of Soviet leaders, if it is to lead to real change, will almost certainly have to involve social and spiritual dimensions as well as political and economic ones—the search for identity as well as for efficiency. That search has begun, as evidenced by the widespread popular effort to recover Russia's lost, largely Christian past. In addition, there are more than 45 million members of the society for preservation and restoration of antiquity; and there is a new cultural fund to encourage private activity in the conservation field, with

Gorbachev's wife serving on the Board. Cultural conservationists played a major role in reversing a government plan to divert the flow of rivers in the Russian interior, which would have flooded many of Russia's oldest churches (containing some of the most fabulous frescoes in all Christian art) before the world had ever had a chance really to discover them.

There is enormous therapeutic value to that troubled land in this movement to preserve the architecture, restore the icons, and recover the books of an older religious culture that was nearly obliterated by Stalin and Khrushchev. During my trip I was particularly impressed by an exhibition in Moscow of magnificent books collected in religious Old Believer communities of the Russian north, during a decade of voluntary summer expeditions conducted by students from dozens of universities and pedagogical institutes. The recovery of the human dimensions of the lost Russian past is a central theme in three great Soviet films of the last quarter century: *Shadows of Forgotten Ancestors, Andrei Rublev,* and *Repentance*—although they are the work of an Armenian, a Russian driven into exile, and a Georgian respectively.

Of course, we do not need to drop our guard to raise our sights. We cannot be sure that the Russian spiritual culture of yesterday will prove relevant today (or that it might not be swept aside by the police tomorrow). Whatever meaning this legacy may prove to have for the Russian people, however, we from the outside can still ennoble ourselves by approaching it as Dostoevsky did the West, when he bade Ivan Karamazov explain to his brother why he, Ivan, was going to visit a Europe that he felt had already perished spiritually:

> I know that I am going only to a graveyard, but it is a precious one...precious for the dead who lies buried there, where every stone speaks of such burning life that once was there, of such passionate faith in their learning and their hopes that I know I shall fall on the ground and kiss those stones and weep over them.

When we open ourselves up to understand others in their depth and uniqueness we often become better able to understand ourselves. We often realize best what it is to be an American when we go abroad; we often look most deeply in on ourselves when we move out most broadly to meet others. We are more likely to want to preserve our own past if we are also curious about our present neighbors. And, as we get to know others better in our own time, we may come to realize how much they still look to us for new ideas and leadership in the field of preservation as in so many other fields.

A realization of the extent to which America really is still at the experimental cutting edge of the human adventure leads me to the last (and by far the most important) point that I would like to make about the need for preservation, which has to do with the intimate interdependence between our uniquely free political and economic system and our cultural and intellectual heritage. Neither can thrive and neither may survive without the other. But neither the doers nor the thinkers in our society seem fully to realize how deeply they need each other, and how the slow fire that we now know is destroying most of our books may not be unrelated to the rust that is eating at our productive infrastructure and the apathy that is eroding our civic spirit.

We are a nation in danger of drawing down our spiritual as well as our material capital precisely at a time when much of the rest of the world is aspiring to replicate key elements of our accomplishment—the political and economic freedom, the ethnic pluralism, the insistence on rights, and the ability of most of our citizenry to simultaneously, harmoniously sustain both deep religious faith and practical enlightenment. In talking about the need to preserve and enhance the role of our great and threatened repositories of books and other vehicles of knowledge, we are talking not

about elite boutique add-ons to our consumers' shopping list, but about the very essence of our kind of civilization.

Here, truly, in the beginning was the word: the Bible that guided our forefathers, the compact written by the first of them, the constitution written by the wisest of them, and a thousand letters, articles, pamphlets, sermons, songs, and contracts from almost all of the diverse communities that helped bring a new order into a new world. Libraries provided from the very beginning a literate and literal part of the *mis-en-scène* by for our unprecedented effort at critical self-government. The history of the Library of Congress by Charles Goodrum and Helen Dalrymple[3] reminds us that both the first Continental Congress in 1774 and the first meeting of the Congress of the United States in 1789 took place in buildings that housed major libraries. The Jefferson of our Declaration of Independence gave his books to the library he created for Congress and asked to be remembered on his epitaph for founding a university rather than for serving as President.

The book played a special role in the development of our civilization because it served as a means of conveying information in a form that would be convincing rather than coercive for a widely scattered, free people who were active, individual readers—not a passive collective audience. The industrialization and consolidation of the American nation in the second half of the nineteenth century coincided with a proliferation of precisely those publications that are now slowly turning to dust because of their acid content. These are the publications that helped both produce and record the American rise to world predominance amidst inner trials and trauma. Also at risk are many of the rare books that immigrants brought here from other lands during this same period, providing us with our first real international extension of memory. The record that is crumbling is a large part not only of our own national story, but of the case study that others would most like to learn from.

In other countries as well, the perishability of books is ironically a function of modernity, as manifested in the use of mass-produced paper of lower quality than the older variety. The record of humanity's most recent history—its rush into complexity and into new fields of specialized enquiry—is particularly in danger of disintegration. America has the most at stake, and the most to gain, from the preservation of this legacy. We have more material; more need to study it, so as to make our knowledge-based system of open and participatory self-government work; and more people capable of doing studies, given our vast, diverse, and widely dispersed academic establishment.

There are other ways, of course, in which historical records can be lost besides material disintegration. They can be destroyed by war or by ideological foes of learning such as those who wiped out the greatest library of antiquity at Alexandria; and who decimated, during the cultural revolution in China, the records of the oldest continuous scientific tradition on earth. It is precisely because the world we live in continues to pose such threats that it is especially important to preserve that part of the record that helps tell the story of how we got where we are--that threatened paper trail that leads us through the labyrinth of modernization to where we are today.

It would be presumptuous of me to offer any conclusion that goes beyond the expression of urgency I have already tried to convey. Many librarians and conservators have been, literally, saviours of parts of our national memory. Many will have answers rooted in deep experience for many of the problems involved in the work of restoration, whose importance we are all just

[3] Charles Goodrum and Helen Dalrymple, *The Library of Congress* (Boulder, Colo.: Westview Press, 1982).

beginning to appreciate. I would conclude only by reflecting on two questions that occurred to me in considering this problem from the perspectives of a scholar and a citizen respectively.

As a scholar I am concerned about how we will decide as a nation what will be saved. When one factors the finitude of any possible preservation plan against the 75 million volumes estimated to be presently at risk in the libraries of this country and the 2.5 billion records in state archives alone that may crumble to dust by the middle of the next century, one feels the messy scholar's compulsion to call for choices that are neither purely random nor bureaucratically categorical. One hopes that the process of choice at every level will involve the ranging scholar's sense of what might be significant—and that at the very least every major body of material that is consigned to oblivion will be looked at thoroughly by one curious, imaginative person before it is allowed to disintegrate. I would hope that the scholars and curators who participate in this task will take special care not to mortgage the future to the selective amnesia inherent in today's academic fads and prejudices. The record of yesterday, like the politics of today, should be pluralistic and respective of variety. We must take particular care to keep some of those things that today's consensus view might be inclined categorically to assign to the dustbin.

I remember my last conversation deep in the bowels of the Firestone Library with the great economist Jacob Viner, who was writing a magisterial book on the intellectual origins of the industrial revolution and laissez faire even as he was dying. He complained not about the absence of data, but about the failure of past generations to preserve most of the sermons preached by the clerical contemporaries of Malthus, in which he suspected lay hidden some of the secret springs for the flood of innovation and creativity that swept over England and Scotland in such a short space of time.

A second, deeper question that haunts me as a citizen is whether we really have the will as a people to preserve our memory, the determination to make a massive effort, and the intelligence to make a coordinated one. There is world enough in this land of privilege, and time as well, if we do not kill too much of it waiting for others to do what each must begin for himself. We will need to steer by those other two fixed stars that stand alongside truth in the humanistic firmament: goodness and beauty.

But it sometimes seems that we locate these stars in the wrong places. Goodness is found in people and fulfilled in society; beauty is found in things and embodied in nature. But many of us have twisted it all around and created the false ideal of "beautiful people" seeking "the good things of life." Many of our cultural leaders, having rejected the older American belief in a creator and an objective moral order, seem at times to have filled the vacuum with a subjective aesthetic disorder of their own creation—a fascination with the aesthetics of power rather than the content of policy, and with "life styles" devoid of life's meaning.

If life is just a matter of style, one is as good as another, yet another is probably better, and one after another is no doubt best of all. But no one can really live that way, and no society will long endure without some binding common values. Sooner or later values will be imposed from without if they are not sustained from within. For freedom did not come into being and will not survive without responsibility. Both liberal democracy and liberal learning evolved gradually from the deepening discipline of the classical call to exercise the mind rather than just indulge the body, and of the Judeo-Christian demand that we grope for goodness rather than just grasp for goods. Democracy in America was rooted in a covenant before it flowered into a constitution. It may, however, go to seed without discipline.

Forgetfulness, indifference, and apathy towards the forces that created and sustain us are some of the forms that our flight from discipline takes. Motion without memory is the result. The recovery of memory is the alternative, and the first step on the path to redemption. The stars will

always be there to steer by, if we learn to locate beauty in the things we preserve and goodness in the people we work with.

Goodness is sometimes harder to find than greatness. The answers ultimately must be found not in the stars but in ourselves. And we should take no answers from those who ask no questions. We must remain at the forefront of the struggle to preserve memory lest we join the ranks of those who live off the laurels of the past rather than its cumulative wisdom. If free people do not preserve and celebrate humanity's memory, others may end up limiting and controlling it. For, as the old Ulysses reminds the spoiled Achilles, who is sulking in his tent and trading on past accomplishments in Shakespeare's *Troilus and Cressida*:

> Time hath, my lord, a wallet at his back,
> Wherein he puts alms for oblivion,
> A great-siz'd monster of ingratitudes.
> . . . For Time is like a fashionable host
> That slightly shakes his parting guest by th'hand
> And with his arms outstretch'd as he would fly,
> Grasps in the comer.
> . . . Let not virtue seek
> Remuneration for the thing it was,
> For beauty, wit,
> High birth, vigour of bone, desert in service,
> Love, friendship, charity, are subjects all
> To envious and calumniating Time.
> One touch of nature makes the whole world kin.
> That all with one consent praise new-born gauds
> Though they are made and moulded of things past, . . .[4]

Note: This paper was first presented at The Art Institute of Chicago on June 16, 1987, for *Invest in the American Collection*, a regional forum on the conservation of cultural property, sponsored by the National Committee to Save America's Cultural Collections (a collaborative project of the National Institute on the Arts and the Humanities).

[4] William Shakespeare, *Trolius and Cressida*, Act III, Scene iii. *The Riverside Shakespeare.* (Boston: Houghton Mifflin, c1974).

PRESERVATION PROGRAM DEVELOPMENT

IN THE

RESEARCH LIBRARY

THE ROLE OF THE LIBRARY DIRECTOR:

WHEREFORE AND WHEREWITHAL

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Preservation in research libraries, and all that it implies, is an idea whose time has come. It is the opposite, perhaps tarnished, side of the collection development coin. All of us know that there is a quiet, abiding, but nonetheless momentous, crisis abroad in the stacks of our libraries; a crises that is unlike the immediate and clarion serials exigency we face because of inflation and dollar devaluation. The degree of the problem differs somewhat from library to library, but there are likely to be few exceptions to the findings that a minimum of one fifth to one fourth of our collections are already embrittled, and that 80% to 90% of our post-1850 collections are in that incipient state because of paper imbued with high acidity. Unfortunately, the crisis that threatens our documentary heritage is still largely unrecognized outside of the library field. It is the members of the Association of Research Libraries (ARL) who must seize the initiative to raise awareness, to take what action is needed at the local level, and to forge partnerships in order to provide national solutions.

The rank and reputation of ARL libraries has always been strongly correlated with the size of their collections. I suspect strongly that, as directors, we believe the greatest legacy we can leave (and one by which we shall certainly be judged and remembered) is the research collections developed during our respective tenures. While this is a legitimate and very important measure of our achievement, I also submit that, in the future, how one leaves the physical state of the collections, and how effectively one has engaged preservation programs pertaining thereto, will be judged equally essential legacies. Because the aggregated library collections represented by ARL constitute the major research library resource in North America, the cruciality and significance of preserving such a resource cannot be overstated. The label *noblesse oblige* would seem to fit.

Assuming that preservation is a compelling problem for research libraries, what is the role of the director in confronting this challenge? To state the obvious, the director must exercise leadership. First and foremost this includes gaining a complete understanding of the problem's components and dimensions. From this understanding must come the inner conviction that preservation action can no longer be postponed. I do not go so far as to recommend an evangelical approach, but one must develop and exhibit a true belief in the cause and be willing to talk about costly solutions in an environment where there is already too much warrantable competition for essential resources. Belief must translate into a readiness to commit internal resources to preservation activities while formulating convincing arguments for support from one's university and beyond. It is the director's responsibility to see that awareness is raised and

education occurs so that collective support for remedial action is built. One cannot shy from repeated initial forays. Forcing the recognition of an issue as overwhelming as pervasive collection decay will not always be suffered gladly.

To bring about the kind of believability, consciousness, and recognition required, there is no alternative to conducting a carefully structured, encyclopedic needs-assessment such as the "Preservation Planning Program" self-study developed by ARL's Office of Management Studies [renamed the Office of Management Services in 1988].[1] It is helpful to recite preservation boilerplate and to cite results of other analyses; but unlike hearing about preservation problems in general, or about other libraries' particular situations, the OMS self-study, locally applied, will provide statistically valid evidence from one's own library system concerning such critical conditions as inadequate climate control, light damage, particulate and chemical pollution, disaster risk, the percentage of books embrittled, and the percentage of the collections sufficiently acidic to be somewhere on the time line of becoming brittle.

The library staff will become educated through participation in and proximity to the study. Some will become strong advocates. In addition, the university will have institution-specific data that provide a fuller context within which to understand both the status of preservation problems and their remedies. Ultimately, preservation is everyone's concern, and this is the state of mind in need of promotion. In general, library staff will be better informed, as well as more understanding, sensitive, and supportive than the outside community; but some will nonetheless reflect the inevitable conflict of preservation versus such competing needs as new acquisitions, automation, equipment, and additional staff. The director should certainly show empathy, but also persistence, in adjusting in-house attitudes.

Of course even the best information will not in itself cure the illness or create a remedial program. The director must use the data and recommendations from a preservation self-study to inform his or her administration more specifically regarding what actions must be taken, in what priority sequence, over what period of time, and at what probably cost. For purposes of information and discussion, one should take the preservation issue and proposed solutions to any and all influential university forums that will offer space on an agenda—for example, a deans' council, graduate council, or university senate. The faculty should be involved from the outset through the duly constituted standing committee that advises the library. Their taking the case to larger departmental and college faculty meetings can be very helpful in building understanding and acceptance of the need to act.

The director's indispensable ally in this work is the preservation administrator. It is an early and absolute prerequisite to create such a position and to fill it with a person qualified to manage a preservation program. That person will eventually require a staff to be effective, but the definition of staffing needs must emanate from the preservation office, which becomes the source of expertise and extended leadership. Ideally the preservation administrator should head the preservation self-study, and without question should be fully involved in (and largely in charge of) implementing the preservation program. I also strongly recommend that the preservation administrator's reporting line be to the library director, in order to ensure full interaction and to underscore the primacy of the issue. It is manifest, however, that the preservation office and staff must have mandated ties with the collection development office and public and technical services

[1] For a guide to conducting the "preservation Planning Program" self-study, see: Pamela W. Darling with Duane E. Webster, *Preservation Planning Program: An Assisted Self-Study Manual for Libraries*, expanded 1987 edition (Washington, D.C.: Association of Research Libraries, Office of Management Studies, 1987).

units, all of which are integral to the preservation effort because they confront problems first-hand.

Clearly, qualified preservation administrators are in very short supply, and competition for them is intensifying as more libraries dip into the pool. Should a search process not yield success, library directors might seriously consider selecting a member of the professional staff who shows interest in the field, and secure the means to send that person to the Columbia University Graduate School of Library Service program in preservation administration, or provide a comparable training opportunity. As precautionary insurance, an agreement should be reached that the trainee return to the library for a specified period of time.

The overall costs of a retrospective and prospective preservation program are truly formidable. No institution can be expected to respond immediately with sufficient funding for a full-scale, broad assault. But persistent lobbying for both short- and long-range support is essential, and must be reinforced by giving funding for preservation activities a reasonably high priority in any new program requests made by the library. In addition, to be taken seriously, the director must demonstrate serious purpose by reallocating scarce resources to begin the preservation effort. At Ohio State University I sacrificed an assistant-to-the-director position in order to hire a preservation administrator. Unfortunately, all preservation costs are add-on, not substitute outlays. We cannot, however, permit the sheer size of the problem to sway us from the strategy of eating the elephant one bite at a time.

Climate control systems in most of our libraries are not up to preservation standards, yet we know that it is absolutely fundamental to the preservation of collections to replace or upgrade these outmoded systems. Reformatting one brittle book costs about sixty dollars, but of what use are brittle books in their current state? It appears that mass deacidification, when available, will cost four to five dollars per volume, but it makes no sense to continue adding to the collections volumes that will eventually become brittle, and the salvage of which will then cost considerably more. Regarding the brittle books problem, I hope that we are disabused, and that we in turn disabuse our administrators, of the simplistic notion that the new information technologies will rush to the rescue. Optical disk may have great potential as a prospective substitute for microformat, but whence will come the economic incentive for retrospective conversion of large stores of older and little used research materials to this relatively unproved and costly format? Furthermore, it is unlikely that electronic publishing will have a dramatic impact on research libraries' acquisitions profiles in the near future. The printed word is a marvelous, effective, enduring, and user-friendly form of information technology, and will no doubt be the preferred publishing medium for a long, long time.

A special word on climate control may be in order since this need bespeaks a very high capital expenditure. There is no easy approach to securing such funding. Funding strategy at Ohio State involved frequent opportunistic presentations of the facts (supported by examples of the ill effects of improper housing), together with some tactical nagging—all especially directed toward physical plant administrators. For our trouble we were rewarded with a state-of-the-art heating, ventilating, and air-conditioning system for the main library stacks, at a cost of $557,000.

Binding is a major preservation activity in which research libraries engage, but how many have scrutinized this operation sufficiently to ensure that the right materials are being bound using the proper types and quality of binding? Are paperbacks being consigned to the stacks unbound only to become preservation problems early on? Are pamphlets being bound commercially at much greater expense than if they were treated in-house? Careful examination of bindery preparation units, and the time-worn procedures and policies they may adhere to, might well yield resources that could be redeployed to further preservation activities at no additional expense. Such was the case at Ohio State. Libraries that are not now particularly involved in preservation

1activities should consider how much collection maintenance can be accomplished by employing relatively inexpensive student assistants. To be sure, students must be well trained; but simple mending, box making, stack cleaning, and identification of preservation problems on the shelves can be done very effectively with a student corps.

Where else does one look internally for funds to reallocate to preservation? The major portion of our budgets is allocated to personnel, and this has to be a potential source of funds. The library materials budget is the next largest component, one that is severely stressed in all research libraries. Nonetheless, preservation is the opposite side of the acquisitions coin, and we must try to allocate some part of the materials budget to it—even if only a token amount. In most cases there is little potential, if any, for tapping allotments for supplies and services. Choices are indeed troublesome; but priming the pump with internal resources, and thereby giving the preservation program definition and dimension, will eventually provide the right combination to the external vault.

If we were ever in doubt, it is abundantly evident by now that no individual library can go it alone in confronting the preservation dilemma. The problem must be viewed in both a local and national context, assuming: (1) an obligation to do what is necessary, locally, to meet the needs of one's primary user community by ensuring that high-demand materials are available; and (2) some obligation to participate in collaborative national preservation microfilming projects so that all materials worth saving for posterity are in fact saved, and so that the burden of doing so is shared. The first responsibility requires local funding, in which definition can be included state support since most ARL collections constitute one of a few major library resources at the state level and arguably warrant such funding. Means of accomplishing various preservation activities should of course include cooperative intrastate, interstate, and/or commercial ventures, where such ventures would achieve optimal results with the greatest economy. The second mandate--the primary focus of the Commission on Preservation and Access—clearly calls for major funding at the national level and must be well coordinated to preclude unnecessary redundant action.

In closing, I would like to emphasize that, whether we like it or not, preservation is an imperative that can no longer be ignored. We cannot, in good conscience, simply leave the liability for our successors to deal with, without having made a good-faith effort. A modest beginning is practical and possible, and will help to foster a "can-do" climate for gradually confronting the overall problem; but an effort cannot be mounted without the conviction and will, and not without making extremely difficult choices. To bring a preservation program to complete fruition will doubtless require extraordinary commitment and effort, as well as courage and vision. Courage, I say, because costly accomplishments in the area of preservation are not likely to bring great plaudits or recognition; nor, in fact, may they be popular. The benefits and results are not as apparent or as appealing as those of collection development and automation, which functions a director will still be expected to pursue fully. The job demands vision, I aver, because it requires foresight to work so hard for the future.

Having aroused your sense of moral duty and exhorted you to action, I could be tempted to put forth the postulate that "preservation is its own reward"—but then I do not subscribe to hyperbole. Preservation is the right cause for keepers of our priceless intellectual and cultural heritage to back, however. It is the right thing to do, and who among us can resist doing the right thing at the right time when such a grand opportunity presents itself?

THE PRESERVATION PROGRAM DEFINED

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When I reflect on the way that library and archives preservation is viewed in library circles these days, I am reminded of the Indian fable of the six blind men who take a trip to the palace of the Rajah to learn something about elephants. As they began to study one of the Rajah's beasts, the first man feels its side and says, "How smooth! An elephant is like a wall." The second feels its trunk and says, "How round! An elephant is like a snake." The other four take their turns, feeling a tusk, a leg, an ear, and the tail, and describe the elephant as being like a spear, a tree, a fan, and a rope, respectively. While each has, in the end, described a part of the whole, the sum of those parts does not an elephant make. In the end the Rajah sets the blind men straight, describing the elephant simply as a big animal. While I don't mean to suggest that we librarians are following in the footsteps of the characters in this parable as we attempt to analyze the preservation needs of our institutions and identify appropriate responses, it does appear that we travel the same road on occasion.

It is possible, for example, given the high incidence of paper embrittlement that has been documented in a number of research libraries, to view preservation programs merely as salvage operations designed to reproduce or replace brittle books at least as fast as they are disintegrating on library shelves. Does, however, the microfilming of embrittled volumes—either by subject, or as they are identified by staff and patrons during routine handling—constitute a preservation program in and of itself? Or is preservation microfilming merely the pachyderm's trunk? Similarly, the presence of a single conservator on staff can give a library a high preservation profile, but can that library claim an elephant? To extend the analogy just a bit further, it was probably a happy circumstance that the six blind men of the fable could not explore the object of their interest in its entirety, for they might have been put off by its sheer size and never have conducted their research (however flawed). Likewise, there may be advantages to seeing some of the bits and pieces of the preservation challenge without seeing the whole--because while that whole is formidable indeed, its constituent elements are, at least, approachable.

The more committed we become to the concept of library preservation, however, the more important it is that we arrive at a common understanding of what activities that concept suggests; and that we develop a common language in which to discuss our plans and accomplishments. It is time that we stop groping at close range, step back from the beast, and see what it is that we must set out to do. Let us begin at the end, with a statement of goals, and then work backward to identify means of reaching them.

The goals of preservation programs in research libraries should complement that rich network of activities that we engage in to enhance people's access to information. In the process of building collections and making them available to users, most items—from serial titles to software

packages—are selected, ordered, tracked from vendor to receiving room, paid for, cataloged, prepared for shelving, ushered to sites dictated by classification schemes (or the alphabet), and marketed to clients by means of catalogs, lists, indexes, abstracts—even personalized reference service. It is at the moment that a reader comes upon a bibliographic record or citation for an item that interests her or him that the preservation program kicks in. Assuming that the item is on the shelf, is it in usable condition? Can the pages of the book be turned without their breaking? Is the binding securely attached to the text, so that the text is well protected during use? Is the roll of film relatively unscratched, so that the medium does not compete with the message for the reader's attention? Can the manuscript be studied—or is it sandwiched precariously within the folds of a crackling envelope, both envelope and manuscript too delicate for either the archivist or the scholar to handle?

The preservation departments that are currently being established in research libraries must work systematically over many decades to increase the odds that any given bibliographic record represents an item that exists, that is complete, and that is in usable condition. If we accept this interpretation of preservation program goals, we are hard pressed to see fledgling preservation efforts as high-priced interlopers that must be entertained by only our largest or oldest libraries; nor can we regard preservation programs as voracious competitors for resources that should rightfully be directed toward traditional cost centers. We must come to view preservation as the guardian of the fruits of our labors; as the insurance that the best efforts of senior managers in libraries to direct the workings of their institutions are meaningful because those efforts refer back to useful, usable collections of research materials.

The activities that comprise a comprehensive preservation program can be grouped into two general categories: those that translate into operational components (that is, the working units that the preservation administrator must supervise); and those with which the preservation administrator must be involved largely as a consultant, advisor, planner, and/or policy maker. The chart on page 27 lists activities in the order in which they will be discussed in this paper.

Among the five operational components listed, the first three (bindery preparation, conservation, and preservation replacement and reformatting) could be expected to comprise a preservation department. Regardless of whether the asterisked units, shelf preparation and stack maintenance, are incorporated into the preservation department, the preservation administrator should be charged to assist in setting policies and establishing procedures as they relate to the handling and altering of library materials.

Beginning with one of the operational components least likely to fire the imagination: the preparation of materials for commercial library binding is a task that has been with us for more than half a century. The prudence of positioning it within the preservation librarian's sphere of influence may not be obvious to some, except in as much as binding seems a more physical than a bibliographic concern. There is, in fact, more to the relationship than mere logic suggests. Over the past decade we have taken a fresh look at the volumes that have been commercially bound during the twentieth century. As it turns out, they are not particularly user friendly. If you aren't already well aware of that fact, try this simple exercise. Browse the literature section of a general stacks area, select any twenty volumes that have been commercially bound, and take them to a table. Open each volume with its spine resting on the table—then let go of it. Chances are very good that nearly every one will snap shut and fall over on its side. The cause of this minor, but persistent, annoyance is the method of sewing used to attach the leaves of the volume together after they have been cut apart for rebinding.

PRESERVATION PROGRAM COMPONENTS

I. **Operational Components** *(Preservation administrator works in a managerial capacity)*
- Bindery Preparation
- Conservation
  - For general collections
  - For rare and special collections
- Preservation Replacement and Reformatting
  - Bibliographic searching
  - Preparation
  - Preservation microfilming and photocopying (in-house or under contract)
  - Inspection
- Shelf Preparation*
- Stack Maintenance*

* These activities may be "administrative" components (see below), rather than "operational" components, depending on local circumstances

II. **Administrative Components** *(Preservation administrator works in an advisory, planning, and/or policy setting capacity)*
- Environmental Monitoring
  - Temperature, relative humidity, lighting, and air cleanliness within library buildings
  - Disaster planning and response
  - Preservation-related staff and user education
- Integration of preservation activities with other library activities
- Advocacy, outreach

In the quest for commercially-bound volumes that open well and have adequate inner margins, making them easy to read and photocopy, librarians are being forced to learn a great deal about the technological (as opposed to the service) aspects of the library binding industry. We are beginning to be able to communicate knowledgeably with binders; and thus to encourage the development, refinement, and widespread use of alternatives to traditional binding methods (double-fan adhesive binding as an alternative to oversewing, for example). Along the way we are examining other aspects of binding programs. Such practices as trimming the edges of old books in the name of making them look new again, trimming the margins of new paperbacks for no reason at all, and using transparent household mending tape to make paper repairs are being questioned, and new options sought. Libraries are establishing "no-trim" policies for example, and are introducing binders to alkaline paper-based mending tapes. Librarians and binders are together investigating the issue of durability, and attempting to determine which methods of attaching the leaves of volumes will delay, rather than hasten, the inevitable failure of bindings as acidic paper

becomes brittle.

In general, libraries are assuming more responsibility for the quality of commercially bound volumes by making some of the decisions regarding binding styles and special treatments that, in the past, were simply left to the binder's judgment. Largely because we are paying more attention to the physical aspects of library materials—in this case, how their structural characteristics influence their usability and longevity—research libraries are unlikely to continue to play the role of the passive consumer, accepting a product with which they are not completely satisfied, but convinced that they cannot influence change. They are choosing to help the library binding industry evolve so that it better meets reader needs. The extent to which they succeed will depend on the degree to which the administrators of binding programs have the appropriate expertise to contribute to the solving of technical problems.

Conservation is a second activity that falls squarely within the purview of the preservation program. The term conservation encompasses the remedial treatment and protective housing of library materials, as these functions are performed by a conservator, a conservation technician, or a person working under the supervision of a conservator or a conservation technician. Conservation treatments range from minor to intermediate to major, as defined in the instructions that accompany the 1987-88 ARL Preservation Statistics Questionnaire. What distinguishes *minor* conservation treatment from the book mending that has gone on in research libraries in the past is not so much the level of difficulty of the work, but rather the nature of the decision making that precedes the work, the way the work is performed, and the materials that are used in its execution.

A good conservation program for general research collections can accomplish many things for an institution. It can reduce the number of volumes that are sent to a commercial bindery because of lack of in-house expertise, when they might have been quickly and correctly repaired and returned to the stacks within days instead of weeks. Materials can be repaired before they go out on interlibrary loan, and materials on reserve and in reference collections can receive same-day treatment. In-house conservation units can help to ensure that collections of monographs don't begin to look like bound journals over time—with original publisher's bindings destroyed wholesale when some could easily have been retained. Early intervention programs, in which texts that are loose in their cases are tightened using a procedure that takes 10 minutes to perform, can reduce the number of volumes that will eventually require much more time-consuming treatments, or commercial library binding. Often, conservation treatments performed in-house *prior* to commercial binding improve the structural and functional characteristics of the bound volume. Special problems—such as what to do with music scores that come in loose sheets the size of architectural blueprints—can be solved.

Routine conservation treatments for general collections should not be confused with programs for conserving rare books, unique items, and other special materials. The first requires the skills of a collections conservator, assisted by technicians and carefully supervised student assistants. While treatments are well thought-out and conducted with precision, they are done in production mode. A library with a two-million volume collection, for example, should see at least 20,000 items a year through its conservation unit (including pamphlet binding in that count). Rare materials conservation, on the other hand, requires the services of well-trained, experienced rare book conservators and paper conservators. Treatments are typically labor intensive, require a very high degree of skill, and carry a high cost per item. Smaller institutions may well concentrate on making protective enclosures for rare and special materials, and contract out to private conservators and regional conservation centers for the treatment of items that require and merit it. All Association of Research Libraries member libraries, however, are in need of intelligently planned,

well-supported programs for conserving general collections. The creation of several staff positions dedicated to restoring and maintaining general collections in usable condition is as logical and sound an administrative decision as is the allocation of personnel for high-volume copy cataloging.

Third on the list of operational components is "preservation replacement and reformatting," which encompasses those activities that address the problem of brittle materials, and materials that are so damaged that they cannot be commercially bound and would require a level of conservation treatment not merited by their value. In an ideal situation, after embrittled and badly damaged items have been identified by whatever means and reviewed by the conservation unit, the preservation replacement and reformatting unit conducts a full bibliographic search to develop background information on published materials. By consulting the catalog of the library's holdings, as well as national bibliographic data bases, publishers' catalogs, and other sources, the relationship of each title to the rest of the library's collections is documented; and information regarding available hard-copy or film replacements is recorded.

The information gathered during the search is presented to a member of the collection development team, who must first determine whether to withdraw a title or to retain it--essentially, to reselect it—for the collection. If the title is to be retained and is not available for purchase, the selector must decide whether to have it microfilmed, photocopied onto alkaline paper, conserved (in rare cases), or boxed and returned to the stacks in brittle condition. Should the first or second options be chosen, it is the responsibility of the preservation replacement and reformatting unit to prepare the material for filming or photocopying. In cases where a paper copy is essential and none is available for sale, it seems wise to microfilm and to generate hard copy from the film; or for libraries to contract for the production of two or three photocopies cooperatively, and to house them at separate sites. Unlike preservation microfilming, where a master copy exists (from which a printing master and a virtually unlimited number of service copies can be produced), single-copy photocopying yields one vulnerable copy of endangered information.

Regarding the reproduction work itself, libraries that have not already established in-house filming operations may well opt to contract for services with commercial vendors, much as they contract for commercial binding services. Similarly, there are several firms that do preservation photocopying under contract. When filming or photocopying is contracted out, the preservation replacement and reformatting unit is responsible for monitoring vendor performance and the quality of the filming or photocopying, and for ensuring that appropriate bibliographic records are created or altered—although not for creating those records.

The Research Libraries Group project model has paved the way for stepping up efforts to film brittle books by subject. A complementary approach to preservation microfilming by subject is microfilming driven by work flow. Brittle volumes will turn up in conservation units every day--particularly if all worn and damaged materials are funneled through the collections conservator on their way to conservation staff for treatment, to the bindery preparation unit, or to a selector (in the case of brittle and severely damaged volumes). It is not unthinkable that all ARL-member libraries could contract for the filming of embrittled volumes for which no hard copy or film replacement is available. Those libraries that don't feel pressed to contribute to the preservation microfilming effort because their embrittlement rate is low thus far, or because few subject collections have the depth of those that might exist in larger or older institutions, *do* nonetheless have the obligation to meet the demonstrated needs of local users, and can make a contribution to the national effort by contracting for the filming of brittle titles that turn up during the course of use. Minimal staffing requirements for such activity are modest (a part-time bibliographic searcher and a technician); and federal and foundation support for such filming should be

encouraged. I envision a pool of money available for the filming of any title identified by any library that has demonstrated the ability to conduct a full bibliographic search for availability, to inspect filmed items according to established standards, and to create appropriate bibliographic records. In this way we can truly share the burden of addressing the brittle books crisis, while fulfilling local responsibilities.

The remaining activities that appear on the above list of operational components are shelf preparation and stack maintenance. Both units are well positioned to identify worn, damaged, and brittle materials for routing to the conservation unit. Furthermore, a great deal of handling takes place in the process of marking, shelving, and reshelving materials—making it especially important that non-damaging procedures are learned and practiced. Whether the shelf preparation and stack maintenance units are actually supervised by the preservation administrator is not so important as establishing his or her authority to review plating, labeling, handling, and shelving, and screening procedures and to initiate changes that render procedures compatible with preservation policies. If the lines of authority are set up such that the preservation administrator cannot require that book plates be printed on alkaline paper, that a cyclical vacuuming program be established for the stacks, or that shelvers discontinue the practice of placing volumes fore-edge down and spine up on book trucks—then the work of the administrator may be foiled at every turn. Bringing an effective preservation program into a library is a guarantee that the activities of all library departments will be affected to some degree, and that the words, "But we've always done it this way!" will be said more than once.

Moving away from operational components, there are several activities with which the preservation administrator must be involved in the capacity of advisor, planner, or policy maker. These are in addition to his or her responsibilities as line supervisor managing personnel, budgets, and work flow. Chief among them is surveying and monitoring buildings to determine whether they provide hospitable environments for the storage of library materials, and developing reports that document problems and recommend appropriate remedial action. Regarding the monitoring and control of temperature, relative humidity, light, and air quality in library buildings, suffice it to say here that these concerns are the underpinnings of preservation programs, and if they are not addressed, can undermine any of the other preservation activities in which an institution might invest time and resources. Consider the wisdom of developing and supporting an impressive conservation facility in which two hundred of the library's greatest treasures are fully conserved each year—while hundreds of thousands of volumes and thousands of linear feet of manuscripts bake in a stack tower that heats to over 100 degrees Fahrenheit during July and August, those materials deteriorating at *many* times the rate they would at 65 or 70 degrees. Through surveys and studies, we are beginning to realize fully the effects that poor housing has on the rate that paper, cloth, and leather become brittle.

A corollary to environmental monitoring is the development of carefully researched strategies for coping with disasters, and the directing of disaster recovery efforts in those unfortunate situations where such effort is required. Disaster plans must be written; salvage priorities must be developed within individual departments and collections, and across library systems; and the technical expertise necessary to recover water- and fire-damaged materials must be acquired and shared.

A second key administrative responsibility is the planning and implementation of comprehensive programs to educate the people who work in and use libraries regarding responsible handling of materials. The objective of preservation-related consciousness raising and training is to minimize the amount of damage inflicted—usually inadvertently—on collections by people.

Writing and teaching skills (and perseverance) are essential for mounting a university- or community-wide educational effort.

A third administrative responsibility of the preservation administrator, the integration of preservation activities with other library activities, is not unlike the work that all library managers must do to assure that the variety of activities undertaken by individual units mesh well and are directed at a unified purpose—that of meeting the overall mission of the library and its parent institution or governing body. Like the head of a cataloging or reference department, the head of a preservation department must be keenly attuned to the activities and goals of all other library units; must participate in a broad range and significant number of meetings; must interact with other managers and staff in an information-sharing and decision-making capacity; and must document policies, procedures, goals and objectives, problems, decisions, and short- and long-range plans.

Finally, the advocacy and outreach component of the preservation administrator's responsibilities is one that distinguishes preservation from most other library programs. On the one hand, because the field of library preservation is relatively new, and most programs are struggling for survival in a highly competitive environment, there is the constant challenge of justifying activities by providing evidence of need; and of charting a clear path toward reasonable goals in the face of what appears to be a bottomless pit of insurmountable problems. On the other hand, the world-at-large appears to be quite interested in preservation, and any established preservation department is likely to be swamped with requests from individuals and other libraries for advice and assistance. The open reference files and core reference libraries in preservation offices are typically hefty and well used.

The various elements of a sound preservation program don't, in general, stand alone particularly well. This point was driven home for me in 1986, several months after I hired the University of Connecticut's first collections conservator. In the process of seeking ways to define the scope of our preservation problems for Library administrators and for the University, we decided to examine 100% of all items returned to the central circulation desk of the main library in a 14-day period (during a time of year when return rates are fairly low). The results of our investigation were startling. Approximately 48% of the nearly 7,000 items we inspected were in need of minor or major repair, or were brittle; and should have been reviewed for treatment or replacement rather than returned directly to the stacks. Without misusing that statistic by attempting to extrapolate from it, it is no doubt fair to say that we have a very large job to do if the overall condition of our collections is to be improved over time.

What was even more unnerving than the implications of the 48% figure, however, was the sensory experience that we had during the 14 days of surveying. We set up a work area in the Circulation Department, in a niche immediately behind the book drop at the service desk. After several hours of hearing and watching books crash to the bottom of a spring loaded drop, I began to view our conservation program as analogous to the surgery that often follows on the heels of years of smoking. Some of our problems can be avoided, and unless we change the casual deal that we have struck with patrons regarding their options for returning books to research libraries, we aren't in a particularly good position to justify—or to reap the benefits from--our conservation efforts. A good preservation program is really a whole-health life style for library collections; and like good living requires an earnest commitment, discipline, attention to detail, and resources. The payoff is longevity.

STAFFING THE PRESERVATION PROGRAM

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At a recent meeting of the American Library Association, I found myself congratulating a preservation librarian newly appointed by an Association of Research Libraries member library. I asked her about her new job and her plans for program development. With great enthusiasm she described preservation as a rather circumscribed activity and her major role as "advice giver"—not policy maker or even implementor. In short, she described a job with no clout or staff to speak of, no budget to administer, a tenuous link to a busy library director, and no plans for formal needs assessment or methodical program growth. I asked if she thought that perhaps sometime in the future she might become responsible for library binding. "Oh no," she said, still enthusiastic, "I don't want to get involved in any nitty-gritty stuff. I want to do preservation." In response I gently suggested that she had, perhaps, missed the whole point.

William Studer, in his paper "The Role of The Library Director: Wherefore and Wherewithal,"[1] has urged library directors to consider the phased development of a comprehensive preservation program. Jan Merrill-Oldham, in "The Preservation Program Defined" [also in this volume], has outlined and described its major components. I am going to discuss the staffing of the program, and its placement within a library's organizational structure.

The success of the preservation venture, as with any venture, will be directly tied to the quality of the staff that a library is able to recruit. But who are the members of the preservation staff and what exactly do they have to know and do? What is their relationship to other staff in the library? How much authority and responsibility should reside in their positions? What kind of support will they require to do their jobs?

There is considerable consensus among research libraries that the first staff member to hire, when establishing a preservation program, is a middle-management professional specializing in preservation. This is the person who will manage and implement the broad-based operation suggested by Studer and outlined by Merrill-Oldham. Ten years ago such professionals did not exist. The role of the preservation administrator in research libraries has emerged as a logical outgrowth of our efforts to develop large scale programs that can address the needs of large library collections.

Regarding the reporting relationship, Mr. Studer has suggested that the preservation administrator report directly to the library director. This opinion has merit. Justifying a new

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[1] See William J. Studer, "The Role of the Library Director: Wherefore and Wherewithal" in this volume.

activity to an organization already stressed by many obvious needs and inadequate resources is an unpopular job. If existing resources must be spread yet thinner to prime the pump, and give the preservation program definition so that it can grow (as Studer has suggested), then the director is in the best position to nurture and mentor the program. Furthermore, preservation is a library-wide activity affecting a considerable array of public and technical services policies. For example, participation in a grant-funded cooperative preservation microfilming program will affect cataloging priorities. Members of the cataloging department are likely to feel uneasy about this, considering their existing backlogs and the low priority that microform cataloging may have been given in the past. Likewise, necessary restrictions on the use of fragile, irreplaceable research materials will require daily adjustments on the part of reference and interlibrary loan departments. In a very real sense these staff members are foot soldiers for the preservation program. They probably have not thought of themselves in this way before, focusing, as they must, on providing access to materials as quickly and fully as possible with as few restrictions as possible.

Arranging for the preservation administrator to report to the director does make sense, but there are other legitimate ways to shape the organizational structure. Delegating responsibility to an associate or assistant director who is interested in, and supports the development of, the preservation program may also be appropriate.

Mr. Studer has described preservation as, "the opposite, perhaps tarnished side of the collection development coin." My own depiction of collection development as the Pac Man devouring preservation is much less elegant. The connection, however, between the builder of the collections and the maintainer of the collections is patently obvious. Positioning preservation under an associate director for collection development makes sense for many reasons. First, collection development officers are accustomed to making difficult decisions that affect other departments, and that are unpopular. The critically important concept of a separate acquisitions budget line for preservation replacements will have to be justified and argued by the collection development officer in an undoubtedly hostile environment. Second, the policies that define the composition of the collections, and therefore dictate a library's preservation challenges and priorities, emanate from prevailing collection development goals and philosophy. Third, collection development and preservation staff will plan and coordinate the library's participation in emerging regional and national cooperative preservation efforts (most particularly, microfilming).

There are yet other options. A comprehensive preservation program will incorporate activities that have traditionally existed in both technical and public services, as well as new activities. In some ways, the preservation program dovetails well with technical services activities, which have almost invariably included bindery preparation and mending. In general, the nature of preservation work is such that it must be managed by people who understand high-volume work flow, an attribute that is highly valued in technical services. What is most important, however, is that the senior manager responsible for the program understands and supports its goals, and has a strong voice within the administrative group. Many a hopefully-conceived preservation plan has stagnated under an unsympathetic division director. If a program is to succeed, there must be administrative commitment, mentoring, and (as Studer has described it) an exercise of leadership from a position of complete understanding. If the library director is the only person who can be trusted to fill these shoes, then he or she had best do that—for a surrogate mentor must be able to articulate the director's goals for a program as well as the director can—or better. In the final analysis, the answer to the question, "Where does the preservation program fit within the organization?" may best be found by looking around to see who is best equipped to champion it. This will be particularly important depending on who is hired into the position of preservation administrator. A program headed by a wimp or a whiner is in trouble.

Regarding the level on which the preservation administrator operates within the library, it should not be determined by tallying years of professional experience. While personnel searches often target senior preservation librarians, search committees sometimes come up empty handed. In such cases the pragmatic decision to hire at a lower level is made with the hope that the administrator will advance through the ranks. Unfortunately, status is everything. It is immeasurably easier to gain knowledge than to gain status. A library's optimistic investment in an entry level preservation librarian may result in that person's leaving to become a successful senior librarian at another library. The first library's preservation program may never have gotten off the ground because it did not have the authority that it needed from the beginning. That library may find itself back at first base, the preservation program burdened with the precedent of an entry level position, and the whole library confused about what the director had envisioned for the program.

Who is the middle-management professional, specializing in preservation, who will hopefully fill the first critical position within the preservation program and be charged with helping to define it, developing specific program areas, and expending the gradually expanding resources that will be allocated for the preservation effort? What will he or she have to know and do? Merrill-Oldham has answered this in one way, by describing the components of the program. I would like to sketch a profile of the actual person. The successful preservation administrator has a broad understanding of the mission of research libraries and of the multi-dimensional aspects of library service; and a successful track record managing budgets, people, and himself or herself. In these ways he or she is like all other exemplary middle managers. The preservation administrator is also a specialist, with a thorough understanding of the physical and chemical forces that affect the longevity of library materials, and the ability to implement all of the preservation options necessary to preserve diverse collections.

Because preservation is a relatively new field, this person is also a diplomat and a realist, who is willing to do what *can* be done now and aspire to what *should* be done later. He or she is a politician, giving people what they most desire first, and the bad news later. If departmental libraries are crying for repair services for heavily-used materials, it would be foolish to expect them to set aside this priority happily, and participate instead in time-consuming selection activities as their contribution to a grant-funded microfilming project that serves the national good.

A preservation administrator must also be effective in convincing colleagues within an institution that they are part of the preservation solution, for it is very easy for staff to become polarized when they are treated as merely part of the problem. In a library that has already conducted a preservation needs assessment involving staff throughout the organization, the politics of the preservation manager's job will be much easier.

In addition to the political and managerial savvy required for success at the home institution, the preservation librarian will also need to be able to work well with colleagues in the larger library community. More than many other professionals on staff, the preservation administrator will represent an institution on the state, regional, consortial, and national scene—an inappropriate environment for one who is single-minded, or worse, naive.

What do preservation administrators actually need to know? Do they need to know about "nitty-gritty stuff" like library binding? The answer is "absolutely yes," since binding typically represents a significant share of a library's preservation effort. Do they need to know about microfilming standards? Should they be able to recognize the attributes of high quality conservation work? Should they be able to list the requirements for a mass deacidification process? Yes, yes, and yes. But there is no mystery to preservation—only mastery.

If a job search fails to turn up a clone of the person just described, cast your eyes around

the library and charge an experienced, interested middle manager with planning the phased development of a first-rate preservation program. Arrange for training at the Columbia University School of Library Service–Conservation Education Programs, or through a substantive training program such as the one recently offered to universities in the University of California system by the preservation department at Berkeley. Following training, a preservation administrator will do what competent professionals do everywhere: seek information in the most efficient way possible by identifying appropriate resource people, and asking for information, advice, and feedback on decisions and plans.

Fortunately, the preservation administrator is not going to be the only professional in a library's preservation department. He or she will be plenty busy with committee meetings, establishing and developing working relationships with other library managers, writing reports and making budget projections, drafting grant proposals, providing outreach to smaller libraries in the region, contributing to statewide preservation planning, and participating in professional activities on the regional and national level. There will be others overseeing the daily work of the department.

These others will *not* be a large corps of student assistants, roving the stacks to identify preservation work. Rather, they will be librarians who train student assistants, supervise their work, meet with subject specialists to discuss specific titles that have become part of the brittle books work flow, conduct staff orientation meetings, plan public relations campaigns, and discuss quality control problems with the library binder, among other things. One lone preservation manager in a research library is *hardly* capable of fulfilling this array of responsibilities. It is essential to plan for the gradual addition of professional staff to the program. For most ARL libraries this will mean an assistant preservation librarian and a professional conservator. For the largest libraries it will also mean a professional to supervise the bindery preparation operation and a professional to manage the preservation replacement and reformatting program. Paraprofessionals can be highly effective, as we all know; but their presence does not ensure that an entire program will not fall apart when a preservation administrator is lost to a sister institution. More importantly, the work of preservation in large part requires professional judgment. The field is defined by a body of standards and specifications that extend beyond the limits of a particular institution. Visit your library's bindery preparation section, or even the recently renamed "conservation" section, and ask a staff member why he or she is performing a particular task in a particular way. If the answer is, "Because it has always been so," a professional is needed on the job.

Let us consider for a moment a second preservation professional that has been defined over the last ten years–the collections conservator. This person manages a high-volume, production-oriented operation, and develops strategies for conserving large collections of general research materials in their original format. He or she organizes, supervises, and costs-out multifaceted, large-scale conservation projects, and is responsible for refurbishing special collections (for example, by dusting and straightening shelves of materials; and constructing protective wrappers, jackets, boxes, and other enclosures for items that require special protection). In contrast, a rare book conservator specializes in the treatment of rare and valuable books, and the paper conservator in the treatment of such materials as manuscripts, maps, and works of art on paper. Both are competent to work on rare materials only after years of training under a master conservator, learning not only technique, but also about the historical aspects of books and papers. Days–sometimes months–are dedicated to the treatment of very valuable items. The difference between the two is that the collections conservator is first a manager; the rare book conservator is first a skilled practitioner. To draw an analogy, the collections conservator is the family physician; the rare book conservator, the neurosurgeon. Both professionals are invaluable and

complementary.

Just as there is medical school before there is specialization, both the rare book conservator and the collections conservator must have a thorough grounding in the principles of conservation. Both may have attended library school, graduated from an academic conservation training program, and served an apprenticeship under an experienced conservator. More pertinent than training, however, a conservator's orientation influences the type of work that he or she chooses to do. If his or her fondest desire is to research and conserve bound volumes of rare botanical drawings, working in a laboratory on intricate solutions to complex structural and chemical problems, he or she simply will not be happy training and supervising a corps of student assistants who construct hundreds of protective enclosures for 19th century volumes in the general collections. But more than the conservator's personal satisfaction is at stake here. A rare book conservator may not, in fact, be what a large research library most needs, if only one conservation professional is to be hired. He or she may not have the skills or inclination to develop the high-volume, routine conservation services that are so badly needed by every ARL library. It is essential to assess the background, interests, and expectations of the conservator before hiring him or her to manage collections conservation.

This does not mean that libraries do not need the services of rare book and paper conservators. In fact, the largest libraries (especially those with large collections of rare and unique materials) will require more than one. At the Library of Congress, 21 professional conservators work exclusively on special collections. These individuals specialize in various aspects of conservation work such as treatment of manuscripts and works of art, and the systematic rehousing of materials in large special collections. Some individuals also supervise staff, estimate annual production levels, and work with other managers to integrate policy with procedures and priorities.

The collections conservator is the colleague of the preservation administrator and may eventually become one, if his or her career aspirations tend towards administration. He or she is a member of the conservation profession as well as the library profession and should attend meetings of the American Institute for Conservation and participate in the Book and Paper Section of that group. The collections conservator must work closely with other preservation staff to establish and integrate procedures within all operations of the preservation program, and within all units of the library as appropriate. The research library conservator of the 1990s bears little resemblance to the old guy or gal who has been mending the library's books in the basement for twenty years (with mixed results) in a time-honored personal tradition. In fact, the untrained book mender is a well-meaning threat to the integrity of our collections.

Depending on the size of a library and the composition of its collections, a conservation facility in a research library will cost approximately $80,000 to $200,000 to outfit, and occupy 1200 to 2500 square feet of space. When one walks into a conservation work area a sense of order and work flow should be immediately apparent. Last year I had the pleasure of visiting such a place: the new Book Preservation Center established at the State University of New York at Buffalo, in part with funds available to research libraries in New York through the State's legislated preservation program. Like the conservator, the conservation facility of the 1990s does not resemble the mendery of the 1960s (even the paper cutters are different), and a library may have to start from scratch to do the job right. The benefits to the collections, however, will be enormous.

PROSPECTIVE PRESERVATION

Wesley L. Boomgaarden
Preservation Officer
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If all existing preservation expertise could be distilled into a single statement it might read as follows: "The longevity of any library collection is entirely dependent upon the interplay of three essential factors: (1) the innate characteristics of the materials in the collection—i.e., their chemistry and their physical make-up; (2) the storage conditions which they must endure—namely, the ambient temperature, relative humidity, lighting, pollution, ventilation, and general housekeeping; and (3) the type, intensity, and amount of handling and usage the materials receive at the hands of our staff and clientele." The degree to which library administrators can optimize these factors as collections are acquired, processed, stored, and used in and out of our facilities dictates, to a large extent, the longevity of those collections.

It is becoming increasingly clear to the library profession that preventive, prospective, and proactive efforts must gain a high priority if we are going to minimize the ever-increasing numbers of unusable library materials in our collections. My paper will address primarily our efforts to acquire chemically and physically stable materials, to house them in sound environmental conditions, and to do all that is possible to assure their appropriate handling by staff and users.

It is not that we in research libraries are doing nothing to address the preservation problems of research libraries. Indeed, ARL members are spending, in aggregate, several million dollars a year in retrospective efforts to refurbish, rebind, conserve at the bench, or microfilm much of our deteriorated or damaged stock. But, as we know, our work has hardly begun—and the job is currently more formidable than our ability to cope with it.

For example, a 1986 survey conducted in the Ohio State University Libraries to assess the condition of materials in the stacks revealed that the paper in some 21% of the volumes has become embrittled through the processes of acid hydrolysis and oxidation, a result of the combining factors of acidic papermaking processes and a less than ideal physical environment for storage of the collections. The same random sample study also indicated that a staggering 90% of the collections are composed of very acidic papers, having a pH of 5.4 or below. These figures point to a sobering fact: a large percentage of the 79% of OSU's collection that is not yet brittle soon will be, unless we can anticipate and prevent deterioration and damage before it happens. At present, we at Ohio State cannot cope with the implication of this to our scholars. Obviously, we have a problem. We have a significant investment to protect, and we do not have the resources or an ideal strategy at hand with which to do it.

ARL libraries have invested literally billions of dollars to acquire and process superb collections. For those libraries that are affiliated with universities, the library collections probably represent the single most valuable capital investment on campus. ARL libraries continue to invest over one-third of a billion dollars each year just to purchase additional materials, as we strive to maintain the quality of our collections in a world where the information industry and scholarship produce more and more collectible materials. Yet the library profession has only recently

recognized that preservation is a central and essential management issue, and that it must receive the attention and support at the highest levels of library administration.

My purpose is to stress the importance of protecting our multi-billion dollar investments with prospective, proactive, and preventative management strategies, as a critical complement to our increasing efforts to reformat unusable texts, to conserve important items, and to exercise other preservation options. These "prospective" strategies may seem simple—perhaps even mundane—because we are allegedly "doing some of this already." But are we taking action properly, at the proper administrative levels, with sufficient resources, and altogether with the right effect? I am not sure that we are.

Several elements comprise these strategies.

- the absolutely vital work of bringing all our library buildings into line with environmental guidelines largely accepted by the library community.

- the attention we must give to prevention of damage to our collections: first-time binding of new materials, intercepting material at early stages of disrepair, and eliminating a multitude of destructive practices as they are discovered.

- the process of communicating with staff and our varied clientele to seek their help in minimizing the cumulative effects of handling and usage.

- disaster prevention and contingency planning.

- the promise of new and improved products and technologies—especially more readily available "acid free" or, more properly-named, "alkaline" papers—that will bring to a close what seemed only a few years ago an open-ended era of "bad paper;" mass deacidification for acidic but not-yet-embrittled papers; and new optical digital technologies that may prove to be an information storage and retrieval medium with preservation potential.

I would like to stress the cost-effectiveness of prevention, vis-à-vis the prohibitive expense of curative conservation. Prospective preservation often falls outside of the role assumed by preservation department heads and preservation officers in ARL libraries, because the activities it comprises are not strictly related to the flow of damaged materials in the processing stream; and preservation officers often do not have direct and putative authority over such activities. Nevertheless, prospective issues have very important implications for the preservation of library collections.

Physical Environment

Let me begin by discussing in more depth the physical environment in which we store our collections. We know that heat, light, excessive dryness or moisture, and environmental pollutants are all key factors in the deterioration of our research collections. Yet very few libraries have been able to upgrade significantly existing heating, ventilation, and air conditioning (HVAC) systems. Such upgrades require a large capital investment that do not "show off" as well as a new

building or even a new acquisition. There are good examples of new or improved HVAC systems in ARL libraries, but they seem to be the exception rather than the rule, when one looks at all the different buildings that house research collections on this continent. Certainly, when the rare opportunity to build a new library building presents itself, librarians must work with architects and planners to design a preservation-compatible structure.

Our record in this regard must improve. Empirical data and the evidence of other observations over time show that building design and air conditioning are probably the most effective, most important, and the least expensive (per unit) preservation tools at our disposal. The general rule of thumb is that book storage areas should be as cool as possible, with relative humidity levels at 40% to 50%. For areas where books and people co-exist, temperatures of 68 to 70 degrees Fahrenheit with 50% relative humidity are a good compromise.

Light is an insidious source of damage to library materials, and can, in fact, be the most potent source.[1] The wavelengths, intensity, and duration of exposure to light must be controlled in the research library.

The intake air in storage areas must be filtered to remove particulates and gaseous pollutants. And "the circulation of cleaned and tempered air must be adequate to prevent pockets of stagnant area and 'microclimates' which are at variance with the stated standards."[2]

The maintenance of physical facilities is generally well outside the day-to-day concern of research library administrators. It is generally the responsibility of campus or buildings and grounds units under a separate senior administrator in the organizational structure of the campus or institution. In such cases there is no substitute for good personal contacts and collaboration among physical facilities personnel, library administration, and preservation personnel. Nor is there a good substitute for the ability to monitor environmental conditions on a continuing basis within library structures. The maintenance of hygrothermographs that record, on a continuing basis, the temperature and relative humidity in identified zones is absolutely essential. Weekly charts sent to the appropriate physical facilities units can have good results as an objective, continuous record of reality in the stacks. The data collected by hygrothermographs (which can be purchased for about $500 per unit) provide an excellent way for preservation staff to keep the physical facilities personnel on their toes and will let them know that the library cares about the suitability of buildings for safely housing collections.

First-Time Binding and Conservation Treatment

Concurrent with efforts to maintain the indoor environment, libraries must undertake a variety of preventative programs, including first-time binding of serials and monographs as a first line of defense against the rigors of life in and out of the library. Binding programs are already well-established within the research library now and needs little attention here today. It is especially important, however, that binding be undertaken following the most recent Library Binding Institute *Standard for Library Binding*, which "emphasizes not only the durability of the library-bound volume, but also its proper functioning—acknowledging that books must open well

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[1] Carolyn Clark Morrow. *The Preservation Challenge: A Guide to Conserving Library Materials* (White Plains, N.Y.: Knowledge Industry Pub., 1983) p. 10.

[2] Paul N. Banks. "Environmental Standards for Storage of Books and Manuscripts," *Library Journal* 99 (February 1, 1974): 341.

if they are to be easily read and photocopied."[3]

A related prospective preservation activity is the seeking out of materials that require conservation attention before the minor problems become major. Such programs involve identifying and flagging materials within technical processing as well as after use by readers. We must also scrutinize all processing and handling activities to eliminate destructive practices. For example, our book return systems: can we justify the existence of book drops as we desperately try to maintain a book repair operation?

Staff Education

In research libraries we must do all we can to institutionalize preservation thinking among our own personnel. This begins at the top levels of the library administration, and must be delivered in a palatable way to librarians, support staff, and even—or especially—to our student assistants.[4] We must institutionalize a high degree of appreciation, care, and respect for books and other library materials among all members of the library staff. This is no small task to undertake. To plan for effective prospective preservation action, however, we must reach staff with the message that the way they handle materials has a cumulative effect on library collections, and serves as a subtle example to our clientele—who *do* notice.

How should we go about training staff in research libraries that are concerned with preventing preventable damage? The job must be done on a routine basis so that everyone who works with and handles materials receives training. Series of care-and-handling sessions of about 90 minutes duration have been shown to be particularly successful in many libraries for reaching library personnel with a basic introduction to preservation issues and guidelines.[5] The basic components of such a program are as follows:

- the sessions should reinforce the good habits that exist, rather than laying blame for poor practices;
- the sessions should be fast-paced and conducted in a very professional manner, with liberal use of humor;
- there should be an audio-visual component that covers the essential concepts;
- handouts should be provided to reinforce the concepts highlighted by the audio-visual component;

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[3] Jan Merrill-Oldham. "Prescription Comes of Age: An Action Agenda for the 80's and Beyond," *American Libraries* 16 (December 1985): 771.

[4] Jan Merrill-Oldham. "Training Library Staff: A High-Yield Investment," a paper presented with "Preservation Education in Libraries: Ways and Means," American Library Association Annual Conference, San Francisco, June 27, 1987.

[5] See, for example, ARL SPEC Kit #133, *Preservation Education in ARL Libraries* (April 1985), compiled by Jan Merrill-Oldham. Washington, D.C.: Association of Research Libraries, Office of Management Studies, Systems and Procedures Exchange Center, 1985.

- the concept of preservation's role in ensuring continual access to information and service to the public should be stressed;

- the role of the preservation department should be highlighted, indicating what the department is doing to assist the library staff in coping with library problems;

- the sessions should elicit the audience's observations and suggestions for improving the preservation-related aspects of library life.

All such forays into staff awareness and training should focus on the practical, and should not go beyond the bounds of common sense. If an unrealistic ideal is preached without sensitivity to the realities and pressures of the workplace, such efforts will surely fail. Experiences by many libraries has shown that staff members are eager to take part in preservation orientation programs. They are fascinated with the "old technology" (the structure of the book), enthusiastic about learning about new technologies for saving the collections, interested in learning how handling affects the longevity of collections, and generally very much in support of all preservation efforts.

Preservation seminars—called by some preservation professionals "retrospective conversion," or "Preservation 101"—are an important component in any comprehensive preservation program. Their side effects are all positive. The messages are several, but the idea that we acquire materials for the long haul—often forever—is especially important. We need to encourage people to strive for altering the original mint condition of this book as little as possible while it is in their hands.

User Education

Reaching our clientele is a far greater challenge, especially in large state-assisted institutions such as Ohio State. Developing a methodology for transmitting a preservation message effectively to a large student body on a large and complex campus is truly daunting. Nevertheless, the job must be done. Teaching appropriate behavior for handling materials must be done both directly and subtly, must be "quick and clear," and our approaches must convey the message that we are seeking the help and collaboration of our audiences. People can be reached directly with well-designed and well-placed flyers, posters, and bookmarks; by labelling fragile items; providing plastic protective bags at the circulation desk on rainy days; and through well-placed articles in campus newspapers, to name some increasingly common approaches.

Our users must be convinced and educated on another level; that is, by the example set by library staff and by the manner in which we present our collections to patron. Our clientele must perceive us as truly caring for the collections if they, too, are to care. We must also find ways to make it as convenient as possible for library staff and users to heed our preservation pleas. Photocopy machines must be well maintained so that they work consistently, support structures such as step stools and staging areas must be provided in the stacks, materials must be maintained in good order, and book trucks must be kept near copy machines, to list a few examples.

Prospective preservation activities associated with staff and patron edification are important and will reap benefits. It must be understood, however, that these activities are not free. They require the support of the library director, the efforts of trained, effective preservation librarians, and the cooperation of library personnel at all levels. The message is simple: preservation is everybody's business.

Emergency and Disaster Preparedness

Certainly no discussion of prospective preservation would be complete without a discussion of the importance of comprehensive emergency/disaster prevention and response planning. Probably the best way to handle disaster preparedness is to assume that such misfortunes can and probably will happen to you . . . and then to plan accordingly. At any given moment, probably 100% of our collections are vulnerable to damage due to earthquake, fire, water, theft, mutilation or some other unexpected occurrences. Successful proactive preservation in this area will depend upon equal portions of both prevention and preparedness. Building security, supervised usage, and insurance play key roles.

Preventive measures truly mundane activities, such as arranging for frequent, regularly scheduled inspections of all buildings, from attic to sub-basement, to ensure adequate maintenance and housekeeping; and regular inspection of security systems, building and roof conditions, fire suppressant systems, HVAC systems, gutter and drain units, basements, and so on. Special attention must be paid to such matters during periods of construction and remodeling.[6]

Although it seems we must cope most frequently with water-related emergencies, it is fire for which we must be best prepared to prevent. The Los Angeles Central Library fires of 1986 are grim reminders of the vulnerability to arson of many book storage areas. Only adequate fire detection and suppressant systems, building adaptations, and improved security can save us from these real disasters. All staff should be made aware of prevention techniques and of what their actions and roles should be in an emergency. A formal written disaster plan is vitally important, but is a somewhat difficult, time-consuming and complex document to create and maintain. This responsibility should be assigned to the preservation officer, who must work closely with the library administration and within the wider university and/or municipal community.

On the positive side, disaster preparedness does not always carry the high price tag of HVAC systems, preservation microfilming programs, or conservation laboratories. As one reviewer phrased it, it may not require buckets of money but it will no doubt require buckets.[7] Some libraries have issued small kits in plastic trunks or pails containing emergency supplies that enable quick response to the most common water leaks. These Miscellaneous Emergency Supply Source Kits (or "M.E.S.S. Kits) have proven very useful in minimizing water damage to collections. The frequent use of disaster recovery supplies in many library systems is a testament to the appalling degree of "deferred maintenance" on campuses and in independent research libraries nationwide.

Alkaline Paper

Hand in hand with preservation activities those developments in both the public and private sectors that point to long-sought-after solutions to old problems. The first is the growing use of alkaline papers by North American and European publishers. "When alkaline papers are used routinely for certain types of materials, a major step will have been taken toward reducing the number of books destined to deteriorate within 50 years of their publications."[8] Alkaline paper is

[6] Banks, op. cit., p. 342.

[7] Bonnie Jo Cullison, review of *The Library Disaster Preparedness Handbook*, by John Morris, in *College and Research Libraries* 48 (July 1987): 374-78.

[8] Merrill-Oldham, *American Libraries*, p. 771.

becoming more readily available and may, within the next decade, become the norm in North America and Europe. Lobbying efforts are currently underway to convince the U.S. Government Printing Office, the largest U.S. publisher, to "go alkaline." As prospective preservation, perhaps nothing can be as important as the universal usage of alkaline papers by publishers. That this goal may not be met widely outside North America and Europe is a serious consideration for ARL libraries that acquire considerable numbers of non-European foreign imprints.

Mass Deacidification and Optical Disk Technologies

Mass deacidification also shows tremendous promise for enhancing the shelf life of acidic but not-yet-embrittled texts at a per volume cost that is perhaps one-tenth the cost of reformatting to preservation microform. The Library of Congress has provided the leadership in developing and testing a mass deacidification process using gaseous diethylzinc (DEZ). As the library community examines the effectiveness of the DEZ process, as well as the Wei T'o nonaqueous book acidification system and other emerging mass systems, the challenge we must meet is to adopt an effective and economical mass acidification systems that can be made available widely in regional centers and libraries around the continent.

Optical disk technology is an exciting new imaging format, the preservation potential of which is not yet fully understood. It will no doubt play some significant role in the near future.

Conclusion

To conclude, a truly serious, effective, comprehensive preservation program is measured not only by the number of staff in a state-of-the-art conservation facility, nor the number of frames of preservation microfilm created and cataloged—although these components are certainly very important. Rather, we recognize that more and more it is very sensible, in the long run, to invest in good building design, environmental control, good facilities maintenance, fire and disaster prevention and preparation, good security systems, staff and user awareness programs, and intercept programs for the maintenance of new and used materials. While these activities are by no means without cost, they must be seen as highly cost-effective prevention that precludes far more expensive cures.

PRESERVATION SELECTION AND TREATMENT OPTIONS

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Research libraries are currently faced with two major preservation-related questions. The first is *what* to preserve; that is, how to select materials for preservation. The second is *how* to preserve; that is, how to choose appropriate preservation technologies.

The perspective I have to offer is different from currently accepted thinking. It is somewhat controversial because it forces us to take a new look at preservation problems, and challenges present approaches to conducting cooperative preservation projects. The questions, "What do we preserve?" and "How should we do it?" are beginning to receive serious study and discussion, but much more thought and effort will be needed to ensure that institutional and cooperative preservation programs are designed to be as effective as possible.

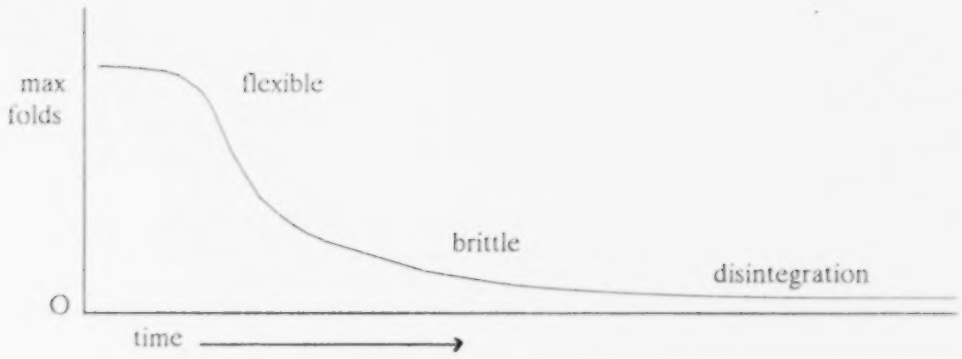
The large scale deterioration of research collections that we are witnessing is historically unprecedented. Never before have the combined problems of chemical deterioration of cheaply made paper and record levels of library use resulted in the potential loss of access to large portions of our documentary heritage. Much has been done in recent years, however, to promote increased awareness and concern for the condition of collections. To exaggerate, we have shifted from a complacent "mark them and park them" attitude, to concern that has resulted in the perpetuation of fantastic images of collections rapidly being buried under drifts of yellow snow. The imagery has done its job very well, but now we need to take a closer look at the situation. We need to improve our understanding of the impact of the deterioration problem on library service, and to evaluate the solutions available to us.

Assumptions

I would like to begin with an examination of three assumptions that are embedded within common preservation knowledge. The first is that **the paper in large parts of research collections has become brittle**. This appears to be **true**, although the percentage of embrittlement varies among collections and with the type of survey instrument employed. We *can* safely say that in all major collections there are many embrittled materials. The second is that **all brittle paper is in danger of imminent disintegration**. Contrary to common understanding, this statement is **mostly false**, as I will explain. Third (and an operational corollary of the second statement) is the presumption that **we must decide *now* what to preserve** if we wish for certain materials to survive. This statement, as it turns out, is only **partly true**.

The reason that not all brittle paper is in danger of imminent disintegration, and why we do not have to make all decisions now regarding what to preserve for the future, has to do with the way paper deteriorates. The graph on page 42 plots the flexibility of paper (measured in folding strength) against the march of time.

Rate of Deterioration of Paper



Flexibility does decrease over time as is evident from the drop in the curve, but it is equally evident that the rate of deterioration slows down dramatically as strong papers become fragile with age. Ultimately, all paper will disintegrate. But for *most* papers this disintegration takes place only after many decades in the fragile and embrittled states.

There is a great deal of empirical evidence to demonstrate that deterioration alone cannot be blamed for rendering some parts of our collections unserviceable. Many books in the stacks cannot pass tests for brittleness, but they are nonetheless intact, and will remain intact for many years to come if they are left undisturbed on the shelves, or if they are very seldom used. The flurries of yellow snow that we *do* observe are shed from books that are both brittle *and* in demand. Use and deterioration together are responsible for most of the damage our collections are currently suffering. Brittle books that are currently in demand do need attention *now* if the information that they contain is to survive. Brittle books that are not now in demand and are not being used, however, will survive for many more years.

Working Hypotheses

When selecting for preservation, there are several working hypotheses that underlie much of our decision making. The first is that **all important materials should be preserved**. Most materials that have been acquired, cataloged, and housed in research libraries are regarded as important, but some materials are not considered important enough to justify the cost of preserving them beyond their useful lives.

The second hypothesis is that **access must be improved**. To promote library service and to make preservation attractive to as many funding sources as possible, it is thought that improvements in bibliographic and physical access must be made. This aspiration could, however, generate add-on costs to the price of preservation. The third working hypothesis is that **national funding will not be adequate**. Funds available from all sources outside of research libraries will not be sufficient to preserve all brittle materials in the foreseeable future. The last hypothesis is that **libraries must**

target resources for maximum impact. In an era when uncontrollable book prices and ambitious automation programs are commanding most of the non-salary funds, all of the resources that libraries can commit to preservation must directly address the most immediate institutional needs as well as the longer-range goal to preserve all important materials.

How, then, do we build a preservation program to meet our goals, both immediate and long-range? Selection for preservation is an important building block because we hypothesize that funding from all sources taken together will be insufficient to preserve all brittle materials in the foreseeable future. Furthermore, the problem of embrittlement is not the only one that has to be solved by preservation programs. Resources must be found to bind and repair non-brittle materials that must continue to be available for use.

Selection Strategies

Several strategies for selection for preservation have been proposed in recent years. The most talked about strategy at the moment is the **clean sweep**. Whole collections, rather than individual titles, would be selected for preservation on the basis of their nationally recognized comprehensiveness. Title-by-title selection would be eliminated in the belief that today's curators and bibliographers cannot determine what would be of value to future scholars. All materials would be preserved by microfilming without regard for condition or use, because all of the collections will need to be preserved eventually, in any case. This strategy proposes to get the job done once and for all.

The second major strategy is **condition at the shelf**. Materials would be systematically reviewed to assess their condition and, if brittle, would be preserved. Title-by-title curatorial review generally would accompany the systematic review to ensure that only important materials were preserved. This strategy would limit preservation expenditures at any given time to the cost of preserving brittle materials only, but would involve the added cost of identifying them. Most grant-funded projects completed thus far have used this selection strategy.

The third major strategy is **condition and use**. It most closely resembles the methods of operation that have evolved in preservation programs in research libraries. Materials that cannot withstand the rigors of normal use would be identified by library staff at various service points throughout the library. Additionally, since curators and bibliographers follow trends of interest in the research collections, use of some parts of the collections could be anticipated. Anticipated use, as well as current use, would qualify materials for inclusion in the preservation work flow.

To summarize, the **clean sweep** strategy involves all titles in comprehensive collections; neither condition nor use determine priorities for preservation. **Condition at the shelf** involves only the brittle materials in comprehensive collections. The **condition and use** strategy targets for initial priority those materials that are both brittle and in demand, and consequently, most vulnerable to loss.

Which strategy for selection for preservation would most effectively and efficiently achieve our goal of preserving all important materials? Which strategy should be deemed worthy of public and private funding? If funding commitments from research libraries will be required, which strategy would meet immediate needs of institutions as well as make progress towards the longer-range goal of preservation of all important materials?

In fact, there may be appropriate applications for all three strategies. For some collections of nationally recognized importance, the importance of individual titles is implicit in their inclusion in the collection. For those collections that are in very large part unusable in their current condition, the **clean sweep** may be justified; for others, the systematic review of **condition at shelf**

may be most appropriate.

However, for most research libraries **condition and use** is the best strategy for selection. **Condition and use** makes access to materials currently in demand its initial priority. This selection strategy assumes that funds and facilities are likely to remain in too-short supply in the foreseeable future to undertake preservation with any goal other than solving today's problems first. A major advantage of the **condition and use** approach over the others is that it would achieve the lowest rate of expenditure for preservation, and would channel funding to areas of immediate need. Expenditures for identification would be eliminated. Fragile and embrittled materials that are not currently in demand would remain on the shelves until either use or, eventually, compelling evidence of disintegration dictated their place in the preservation queue.

What decisions need to be made now? The first is whether to preserve the titles that are falling apart because they are currently in demand *and* have deteriorated to the point that they cannot withstand the wear and tear of normal handling. To maintain access to the collections we must begin with preservation of the parts of the collection that are in demand. Second, we must decide now whether to preserve those titles that are so deteriorated that to wait any longer would make impossible the copying of text to another format—microform, photocopy, or electronic media. Only a small percentage of all brittle books are in danger of imminent disintegration, but those books that are must be preserved now, or they will disappear.

The preservation problem is not limited to the dozen or so largest and oldest research libraries in the country, but the number of nationally recognized, comprehensive collections is very limited indeed. Large research collections with large preservation problems do carry, and will continue to carry, a large share of the preservation work load. However, in order to preserve collections at a rate faster than they are deteriorating, a commitment will be needed from as many research libraries as possible. Using **condition and use** as a selection strategy would enable all research libraries to identify materials to be preserved. Every institution could make a contribution to the total effort by preserving titles whose local use and embrittled condition warrant action. Broad participation could be encouraged by establishing a funding program to supplement library commitments with outside resources.

Treatment Options

Selection strategies determine what we preserve; treatment options determine how *well* we preserve both information *and* access to it. For most brittle materials, microforms and electrostatic photocopies are the preferred treatment options for preservation of text—microfilm and microfiche being the most frequently used media. Most information can be captured by film; relatively inexpensive "on demand" publication is possible; and the technology is well known, though perhaps on the eve of obsolescence. The major drawbacks of microforms are low user acceptance and a lack of suitability for preserving materials that are more conveniently used in hard copy; or that are oversize, are in color, or have continuous tone illustrations.

Electrostatic photocopies have the advantage of relatively high user acceptance and are a medium more appropriate for preserving some kinds of information. The "quality" of access to most information is distinctly better in photocopies than in microforms. The major disadvantage of photocopies is that the cost of on-demand copies is generally higher than for microforms.

Both microfilming and photocopying are needed if we are to be successful in preserving information and access to it. Both technologies are relatively stable and have long shelf lives. Neither is perfect, however, and neither is inexpensive. How wise, then, would it be to try to solve tomorrow's preservation problems using today's preservation technologies? Who will opt for

microforms, or even for user-friendly photocopies, when a mass process becomes available to strengthen the embrittled original paper and return it to active service? Or when electronic storage media make possible the convenience of dial-up access to text and truly inexpensive copies?

Summary

Today's treatment options for embrittled paper are too compromising, in terms of the information they capture, the level of access they provide, and their cost, to preserve any materials other than those that will be lost if not soon treated. To make the best use of funds that inevitably will be insufficient, in the foreseeable future, to preserve *all* brittle materials, the selection of materials for preservation should target those that are both embrittled and in demand. In this way we can ensure that access is improved, that these materials are not lost, and that we make optimal use of the technologies now being developed, as well as those currently in use.

PRESERVATION PLANNING AND PERSPECTIVE

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At this moment some books are being lost forever, as unique copies printed on brittle paper meet with the hands of a reader or the glass of a photocopy machine. In order to minimize the loss of information that is occurring in research libraries every day, well structured, comprehensive preservation programs must be developed. Long-range planning provides an orderly, coherent, and rational way to establish, operate, and move a program forward. It is an activity sometimes daunting to contemplate, often difficult to carry out, and always wonderful when completed. Relying on the planning done by other members in a cooperative preservation program or through a national effort is not planning. Managing from crisis to crisis, whether they be created by floods or grant proposals, is not planning. Knowing where you started, where you are going, and how you will get there represents a major step towards accomplishing what we cannot wait a moment longer to accomplish.

Compared to its state fifteen years ago, preservation is a sophisticated field. There are still more answers, dollars, and technological improvements needed; but there also exists sufficient authority, a number of workable blueprints, and many planning tools both to establish and to aid proficient preservation operations at the institutional level.

The preservation planning process must have a goal. The collective goal is to preserve all unique information in all collections by reproducing it, or in some cases, by conserving original items. The local goal is to preserve all information important to the local readership, in the appropriate formats and quantities. These goals, which dovetail nicely, encompass a broad range of activities that comprise the local preservation program and serve as the basis for cooperative work. In order to address the various parts of this complicated undertaking, information must be gathered, assimilated, sorted, and applied.

What Planning Tools Are Available?

Of primary importance is the involvement of library staff. Their enthusiasm and their expertise are invaluable here as elsewhere. Perhaps they are already deeply involved in preservation activities and have implemented a program; perhaps they are simply awaiting the command to plan for preservation. In any case, they are not totally unknowing or uncaring about the problem—it affects all collections too extensively. Brainstorming sessions, a planning task force, a preservation committee, forums, training workshops, and information exchanges are all invigorating and productive. The power of a group of people looking at a problem, generating ideas, and identifying solutions is great. Group participation, however, is not enough. Hiring a person who can assume primary responsibility for the preservation of the collections—who can direct, implement, and focus the energies of the entire system—is a necessity and should be a goal

in every library's preservation plan.

The Association of Research Libraries Office of Management Studies [renamed the Office of Management Services in 1988] has developed and refined the "Preservation Planning Program"[1], a self-study that has now been carried out by more than 16 libraries. As with all OMS self-studies, conducting this one involves a large number of staff, who become specialists during the process (some 520 at the first 13 participating libraries). It also represents a considerable investment of staff time (often over 2,000 staff hours), but a valuable investment given the expertise gained, the products derived, and the implicit commitment by all involved to support preservation activities. The primary product of the process is a broad plan for implementing or reorienting an institution's preservation program.

The use of the self-study has resulted in the establishment of ongoing preservation committees and comprehensive preservation programs, some with national reputations; in major building improvements such as installation of air conditioning; in fund raising (in one instance, a $1.5 million preservation endowment has been established); and in the intensive education of most staff and many readers in participating institutions. With the help of OMS preservation consultants, the program generally takes nine to twelve months to complete and consists of three phases: the preparation of a background paper, the thorough investigation of specific topics and drafting of recommendations, and the writing of a preservation plan. Where no program exists, nothing is more productive or comprehensive than a self-study effort to bring an entire library up to speed.

The literature in the field is voluminous, and good workbooks and manuals exist on almost every topic.[2] These are basic tools for sound planning. Today, when one rarely needs to invent wheels, we nonetheless need to adopt, adapt, and improve. There are OMS SPEC kits available on many preservation topics, including disaster preparedness, preservation procedures, preservation education, commercial library binding, organizing for preservation, and preservation guidelines[3]; and two editions of the *Preservation Planning Program Resource Notebook*[4] that is part of the supporting documentation for the self study and includes many of the best articles from the preservation literature. ARL's "Guidelines for Minimum Preservation Efforts," approved by the membership in 1984, are helpful in setting goals, as are the results of the ARL Preservation Statistics Questionnaire. The questionnaire, which will be distributed annually, requires consistency in both record-keeping and in the use of terminology, and will provide a very useful planning tool.

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[1] See Pamela W. Darling with Duane E. Webster, *Preservation Planning Program: An Assisted Self-Study Manual for Libraries*, expanded 1987 edition (Washington, D.C.: Association of Research Libraries, Office of Management Studies, 1987).

[2] Articles on preservation and preservation administration are listed under "Conservation" in *Library Literature*. Also see Lisa L. Fox, *A Core Collection in Preservation* (Chicago: American Library Association, Resources and Technical Services Division, 1988).

[3] SPEC kits are published by the Association of Research Libraries Office of Management Services, Systems and Procedures Exchange Center. Those referred to here are *Preparing for Emergencies and Disasters* (#69), *Basic Preservation Procedures* (#70), *Preservation Education in ARL Libraries* (#113), *Binding Operations in ARL Libraries* (#114), *Organizing for Preservation in ARL Libraries* (#116), *Preservation Guidelines in ARL Libraries* (#137).

[4] Pamela W. Darling, *Preservation Planning Program Resource Notebook*, (Washington, D.C.: Association of Research Libraries, Office of Management Studies, 1982); and Wesley L. Boomgaarden, *Preservation Planning Program Resource Notebook*, revised edition (Washington, D.C.: Association of Research Libraries, Office of Management Studies, 1987).

By extension, planning includes the further education of library staff through enrollment in the only accredited degree programs in preservation administration and library conservation, at the Columbia University School of Library Service; participation in one of the preservation internships available at several libraries nationwide; or attendance at shorter training sessions on a less formal basis. Workshops and conference programs are offered frequently—many by state or regional groups, and some through national organizations such as the American Library Association and the Society of American Archivists. Consultations are becoming common, and field service surveys are offered professionally by the Northeast Document Conservation Center, the Conservation Center for Art and Historic Artifacts, the SOLINET Preservation Program, and other agencies.

Cooperative programs are flourishing, and demand fine-tuned planning and rational strategies that interrelate intimately with the library's local preservation program. National databases provide the communication function that is at the heart of the planning strategy, and which is essential for avoiding duplicate filming and for planning projects that complement the work of other libraries. Such tools as data from the North American Collections Inventory Project[5]; and the "preservation scope notes"[6] which will list past, present, and future reformatting and conservation projects, are invaluable.

What Is It That Should Be Planned?

The specific needs of each collection must be identified before solutions to preservation problems can be sought, and most planning is based partly on the results of surveys. Full surveys of environmental conditions, housing and shelving practices, and repair and binding procedures; and selective surveys of the condition of materials, are appropriate. It is comforting to know that the results of a 1,000-volume condition survey carried out by one library came, in the category of embrittlement, to within one percentage point of the results of a 36,000-volume survey carried out by another. The survey summaries appearing in the literature provide many statistics that can be applied locally (for example, those on paper embrittlement; paper acidity; and the relevance of imprint, age of materials, and type of collections). The character of each individual collection, however, is all-important to how one proceeds.

Implementation

The most obvious step following needs-assessment is the establishment of a preservation program to address all areas of need. The planning steps for program implementation may include documenting existing local efforts; interviewing staff to enhance needs-assessment data and lay a comfortable political base; setting priorities among identified needs primarily based on institutional clientele and academic requirements but with an eye to costs, public relations, and feasibility; and implementing program components that address top priorities, with the aid of the planning tools

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[5] The North American Collections Inventory Project (NCIP) is a cooperative effort to develop an online inventory of descriptions of research library collections, using the Online Conspectus developed by the Research Libraries Group.

[6] Preservation scope notes are a recent enhancement of the Online Conspectus. These notes allow libraries to describe significant preservation projects that are underway, completed, or planned for the future. For more information, contact the Research Libraries Group, Inc., Jordan Quadrangle, Stanford, CA 94305.

mentioned earlier. Short- and long-term budgets, staffing configurations, and a time line are generally part of an overall plan. Brief, manageable action plans for each step of implementation are very helpful. These should include a series of statements:

1) Objective of the activity or project
2) Duration of the activity or project
3) Assumptions that underlie the plan of action
4) Resources needed (staff, supplies, equipment, other cost centers)
5) Suggestions for funding
6) Specific actions to be taken, staff responsible, and target completion dates.

Basic considerations in planning preservation programs include the level of emphasis to be placed on conservation treatment as opposed to the replacement or reformatting of brittle books; how extensive staff and reader education will be; whether certain in-house services (e.g., preservation microfilming) will be established, or whether contractual arrangements will be made with outside vendors; and what materials will receive priority for processing. This last step, selection, will involve selection officers and may also involve input from faculty. Selection may be based on use and condition factors, or on preservation of a subject or special collection.

The success of a preservation program and the rate at which it is implemented are often directly proportionate to the amount of effective planning that precedes action. Once established, program components should be reviewed regularly so that problems can be identified, successful activities expanded, and new components added.

How Does Planning Help?

Planning, of course, can increase efficiency and save time, and we must take advantage of every possible savings given the size and nature of the preservation problem. The resources available now and in the future will never allow for the preservation of all of the volumes important to each library. Efficient management of the preservation work flow associated with both cooperative programs and the library's service to its readers will ensure that many more volumes will be preserved. Intelligent planning helps staff to avoid working solely by crisis management, and demonstrable coherence in direction can stimulate and improve public relations. Perhaps most importantly, planning directly affects funding, providing, as it does, justification for both institutional budgets and grant requests. (The National Endowment for the Humanities Office of Preservation offers detailed grant-writing guidelines that themselves aid in planning.)

In-depth planning for a preservation project that focuses on specific subjects, for instance, might include a broad study of all subject and special collections in the library, the preservation needs of each, their value to both local academic programs and the national scholarly world, and their comparative ratings in published program assessments and national collection evaluation projects. Setting priorities based on these ratings is relatively easy, and coupled with project parameters (e.g., date and/or country of publication), a very tight case can be made to support requests for funding, with clear justification as to why certain materials have been selected.

Conclusion

A plan for preservation should offer solutions and identify funding sources, it should set a timetable that includes evaluation procedures, it should assign responsibility for specific activities,

and it should be persuasive. Sounds simple.

Unfortunately, preservation is not a special project. It is *not* something that can be done all at once and considered finished, no matter what levels of resources are involved. Like cataloging, it is an ongoing, evolving, worrisome, detailed, expensive, labor-intensive responsibility that enables a library to work properly. Without it, the very collections disintegrate. Some might welcome the management of less and less information, but we are facing a broad and non-discriminatory form of censorship that could severely restrict scholarship and the functioning of our educational institutions. Intelligent planning for preservation must also be ongoing and evolving, and while there are no planning blueprints perfect for every library, there are many models with components suitable for adapting to local requirements. We must preserve our collections, and we must plan to do so efficiently, cost effectively, cooperatively, and speedily.

SPECIAL PERSPECTIVES

THE RESPONSIBILITY OF LEADERSHIP:

MAKING IT HAPPEN

Patricia Battin
President
Commission on Preservation and Access

If the future is to have access to the past, it must fall to our generation, as stewards of our intellectual heritage, to assume an enormous responsibility. As leaders in the library profession we must articulate and define the preservation crisis for our society, not as a series of procedures and tasks, but as a broad social issue—that is, as a threat to our society's capacity to provide access to knowledge.

The exercise of leadership in this undertaking will demand the best from all of us; it will require an unprecedented level of statesmanship and the ability to manage a very diverse agenda with consummate skill, good will, and confidence in the integrity of our colleagues' concern and commitment. We will never have perfect unanimity of opinion regarding procedures and methodology, nor should we. We can, however, develop a strong and collegial commitment to shared objectives, and an unaccustomed tolerance for diversity—with the understanding that our efforts will encompass both success and failure, both vision and short-sightedness, as we design and implement a program for effective international collaboration. We can be successful if we maintain an unshakable faith in our collective ability to succeed and to support each other in the pursuit of a wide-ranging agenda.

Our challenge is more than the conversion of knowledge from a deteriorating format. We have the opportunity to transform the structure of our traditional information systems to conform to the emerging demands of a rapidly changing scholarly process. The opportunity to reconfigure library collections demands our intellectual leadership in the consideration of effective bibliographic mechanisms, re-selection of research resources in the context of changing patterns of scholarship, and the linking of new technologies to the changing information habits of scholars.

Regarding the role that the Commission on Preservation and Access can play in meeting this challenge, there are a few basic themes that I believe should underlie the Commission's activities. These are diversity of approach; adherence to a set of basic principles; increase in the magnitude of our operations; building on the past; reconceptualization of programs, economics, and organizational structures; and the development of specifics as we proceed.

I would like to emphasize the importance of diversity: diversity of format, of disciplinary need, and of institutional mission and the nature of our libraries. We have to find a way to coordinate a program that will have a thousand flowers blooming—possibly two thousand—around the world. We will witness an increase in magnitude that is no doubt greater than any of us has yet internalized. If, however, we are going to achieve in the next twenty years a level of microfilming activity that would take two hundred years to accomplish, were our existing cottage-industry structure to persist, we have to think in very different terms about everything that

we are doing. We must build on the past. We have already compiled an enormous record of achievements. Other papers at this meeting suggest the kinds of activities that are currently underway, and that have been instrumental in developing the experience, sophistication, and talent that we will need in order to agree on a set of basic principles, to conceptualize the process of transforming a cottage industry into a mass-production activity, and to develop specifics within the broader vision as we proceed.

The goal of the Commission on Preservation and Access is to foster, develop, and support systematic and purposeful collaboration among all libraries and allied organizations in order to ensure the preservation of the human record in all formats, and to provide enhanced access to scholarly information. In the pursuit of these goals, all the major issues that reflect the fundamental changes in our scholarly information systems must be addressed. Key issues and goals include mounting effective collaborative efforts; gaining knowledge of disciplinary research methods; choosing appropriate formats; developing selection criteria, bibliographic control mechanisms, and network standards; using new technologies; clarifying copyright implications; ensuring compatibility and access; managing systems of distributed access; exploring the role of the private sector; and identifying new financing strategies.

One of the functions of the Commission will be to develop a coordinated program based on minimal requirements for international collaboration, with ample allowance for local options. Collaboration will revolve around the creation of new master copies of deteriorating materials using appropriate technologies that provide enhanced access.

Minimal requirements for international collaboration will include a simple, standardized on-line capacity to indicate the commitment to reformat; a simple, standardized on-line capacity to indicate the existence of a master copy; agreement on technical standards for specific formats; agreement on minimal standards for bibliographic control; and the evolution of selection processes based on scholarly advice, local priorities, emerging overlap data, and cost-effective methodologies. There are then numerous local options that can be employed by institutions at local expense.

The ultimate goal is the creation of a collective knowledge base, in digitized format, from which individual institutions can draw down a variety of formats to serve their institutional missions and programs. In this environment an institution could choose to replace a portion of its collection with hard copy printed from the digitized pool; it could elect to store certain other resources on optical disks or magnetic tapes and offer local subsidized access; it could make rarely used materials available via network access with the access costs offset by the elimination of storage expenses; and it could provide publication-on-demand services to meet needs as they arise. If this vision truly presages the shape and character of the future library, we will have found a way to link our past knowledge with the present and the future.

The economics of such a vision poses one of our biggest intellectual challenges: how can we develop new financing mechanisms for our universities, for our information services, and for the distribution of information in the society? This concept, described by economists as "support of a public good," requires that we identify the average allocated costs to the wide range of beneficiaries. How do we help the potential purchasers of the product contribute to the support of the process? Traditionally the institutions that have needed service have supported that service, while institutions that want the product simply pay the transactional marginal cost. We need to explore other models. Consider the fire department; the country club where one pays greens fees as well as membership equity; and the highway system, the maintenance of which requires tax dollars as well as tolls paid by individual users. We must think through how, in this society, we can accumulate the capital investment from those who are going to benefit from the resulting products.

A wide range of operational costs for preservation microfilming has been documented by the Kantor[1] and McClung[2] studies. We must investigate the economic and intellectual values of various alternatives and options, and then consider the importance of lost opportunities versus adherence to traditional procedures.

I am a believer in the notion that the mythologies in higher education do us a great disservice. Our language often connotes an earlier age that no longer exists. A good example is the phrase, "the needs of the local scholar." The modern scholar, however "local," wants access to international resources. The "library budget" can no longer expand to cope with the range of information resources and services available today. We speak of "the faculty" as a coherent entity, when really, our scholars represent a highly specialized, fragmented series of disciplines and sub-disciplines, and are loyal to their disciplines rather than to their institutions.

Our mythologies create a set of peculiar disjunctures that too often influence decision-making in the university. First, of course, is the myth of the "paperless society," which exists in the face of the fact that only three to five percent of the world's information is stored on non-paper media. Second is the myth that preservation can be charged to "the library budget," when in fact the cost for reformatting the library's collections has never been included in the operating budget of the institution or the library. Third is the myth that the library is the heart of the university; and fourth, the myth that interlibrary loan is free.

Unfortunately, the culture rewards adherence to the myth rather than to initiatives for change. As leaders of the library profession, we are being asked to defy the culture that exists in our institutions. That culture rewards omission rather than commission. It is easier to do nothing than to make waves—easier to subscribe to living within or below the budget; to isolation, retreat, and autonomy; to adherence to tradition in a rapidly changing environment; and to sacred cows rather than analytical thinking. I believe that the Commission can be useful in articulating these disjunctures, and in generating support for the leadership activities of research library directors in their institutions.

We envision three revenue streams. The first is administrative support for the Commission, which has been assured for approximately three years by nine universities, the Research Libraries of the New York State Preservation Program, and two foundations that have been generous in their support. In addition, we hope to raise up to five million dollars to fund a series of experiments and demonstration projects, to engage consultants, and to commission studies on essential issues.

For example, we are interested in applying factory systems analysis techniques to the problem of transforming our cottage microfilming industries into a mass-production filming capability. We have discussed with some members of the Manufacturing Systems Engineering Department at Lehigh University the possibility of their helping to assess our current microfilming situation. We are also discussing a small pilot project to identify requirements for the digitization of microfilm. These activities represent the kinds of projects that the Commission hopes to initiate. We will depend heavily on the involvement of the members of the Association of Research Libraries in identifying problem areas and in setting priorities for exploration.

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[1] Paul B. Kantor, *Costs of Microfilm Preservation at Research Libraries: A Study of Four Institutions* (Washington, D.C.: Council on Library Resources, 1986).

[2] Patricia A. McClung, "Costs Associated with Preservation Microfilming: Results of the Research Libraries Group Study," *Library Resources and Technical Services*, 30 (October/December 1986): 363-74.

The third major revenue stream will be the stimulation of a flow of funds from a variety of sources—governments, corporations, universities, and foundations—to individual institutions to support necessary preservation operations. We hope to mount a major public information campaign in order to broaden this effort beyond the academic profession to the general population.

Robert Frost, in his poem "Mending Wall," writes, "Something there is that doesn't love a wall." We in the library profession could say, "Something there is that doesn't love a national plan." We fear control and loss of autonomy. We must recognize, however, that we are no longer a society of hunters and gatherers living on tribal reservations. We have become a global village. Sally Ride, in a recent report, wrote that "Without an eye toward the future, we flounder in the present," and that we should set our sights once again on the moon and "not rush headlong toward Mars."[3]

Two hundred years ago a group of men, all with a great fear of centralized power, convened in Philadelphia to develop a plan for the future. Fortunately for all of us, they understood the need for leadership, cooperation, and mutual confidence in an imperfect union. Despite their misgivings, they recognized the importance of community over anarchy. In the words of Alexander Hamilton:

> A few characters of consequence, by opposing or even refusing to sign the Constitution, may do indefinite mischief by kindling the latent sparks which lurk under an enthusiasm in favor of the Convention which may soon subside. No man's ideas are more remote from the plan than my own are known to be, but is it possible to deliberate between anarchy and convulsion on one side and the chance of good to be expected from the plan on the other?[4]

If we are to be worthy of our inheritance, we too will have to transcend our individual concerns and vested interests to ensure the vitality of that heritage for succeeding generations.

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[3] Sally Ride, quoted by Norman Colin in "Space Program Said to Lack Direction," *Science*, 28 August 1987, p. 965.

[4] Alexander Hamilton, quoted by William Peters in "Agreement and Dissent," *American Way*, 1 September 1987, p. 45.

A VIEW FROM THE SIDELINES

James M. Morris
Program Director
Andrew W. Mellon Foundation

When it comes to naming things, I'm no Adam, so I was dismayed when I was asked in advance to provide a title for this paper. I thought for several days about a title that might accurately characterize the Andrew W. Mellon Foundation's contribution to preservation and conservation activity in research libraries. What settled me, uneasily I admit, on "A View From the Sidelines" was the receipt of a report from the Research Libraries Group (RLG) about the current state of its cooperative preservation microfilming project, toward which the Foundation contributed $675,000 in 1983. We were less interested at that time in the particular titles or categories of titles that might be filmed than we were in seeing whether rules and workable procedures for a cooperative project might actually evolve, United Nations fashion, among RLG members.

Although the project has moved at a slower pace than earlier plans called for, it has indeed moved. Filming standards have been written; common practices established; an important cost study completed; an entirely new phase planned. Using one of the simple Kantian categories by which Foundation staff perceive the world, I have long since judged the project a success. When the latest report came, however, I read to the bottom line (literally), and noted that, after four years, the project has filmed—and saved—a total of 29,000 volumes.

For some reason, the number struck me as it had not before, although I had surely seen it before and been impressed. It now seemed so much less formidable, measured against the staggering figures that are tossed about—like hot coals no one wants to take hold of—in conjunction with the brittle-books problem. I had thought the Foundation was making a substantial contribution to preservation and conservation activities, but I began to wonder whether we have actually joined the game or been little more than watchers from the sidelines. I wondered too whether circumstances might not assign us that role permanently.

I reviewed the principal categories of preservation activity that the Foundation has supported and the grants that our Board has approved: for example, to the Columbia University School of Library Service for programs that train conservators and preservation administrators; to university libraries for preservation administration internships; to independent research libraries for conservation apprenticeships and, through endowment, for broader conservation needs; to places such as Johns Hopkins and Cornell Universities and the Northeast Document Conservation Center to train preservation apprentices and to provide preservation instruction and services to other institutions; to the New York Public Library to create an on-line database for master microforms and preservation microrecording activity in research libraries; to the Association of Research Libraries for an on-line inventory of research library collections (the On-line Conspectus)--useful in part for assigning subject responsibilities to libraries participating in cooperative preservation programs; and to ARL to convert to machine readable form records in the *National Register of*

Microform Masters, another useful tool for coordinated preservation microfilming activity.

We contributed to the Council on Library Resources for the first-rate film that it has produced, in association with the Library of Congress and the National Endowment for the Humanities, about the brittle-books problem (*Slow Fires*)—a film likely to do much good for the cause among audiences that must be reached and enlisted. We have helped with the preparation of assorted handbooks and training manuals. We had a hand—a finger, really—in funding the work that led to publication of an accepted national standard for permanent paper (*American National Standard for Information Science—Permanence of Paper for Printed Library Materials* [ANSI Z39.48-84]). We have supported the American Trust for the British Library, which has been filming Americana materials in American libraries to fill gaps in the collections of the British Library, and we gave modest assistance to a project that has recruited Classics scholars and asked them to choose from among the embrittled materials in the field those that deserve priority for filming. But with the exception of the RLG and American Trust projects, the Foundation has not attacked the brittle-books problem head-on, by which I mean at the filming and duplicating stations. The problem has seemed to us—and perhaps to you as well—like one of those closets that appear in a cartoon, the contents of which bury any character so foolish as to open the door wide enough to take a good look inside: out come tumbling the hat boxes and skis and lacrosse sticks.

Our approach has been essentially preparatory—to assure that there will be institutional capacity, organizational expertise, and a pool of skilled talent. It has slighted the preservation needs of individual institutions in favor of the claims of "the broad field," which seems sometimes to lie hidden under fog.

I heard a professor of English speak recently of an effort "to privilege disaffected members of the faculty." Perhaps the word "privilege" has always been a verb, but the usage had a newly minted, academic-critical sound. To use late 1980s terms, then, we have felt unable to privilege particular categories of endangered materials or the preservation needs of individual institutions. Were we to start down that road—being neither librarians, conservators, nor working scholars—we could not cope with the appeals from libraries large and small on behalf of their threatened collections.

Individual libraries, striving to meet their preservation responsibilities, will argue to have the Mellon Foundation involved with activities from which, I expect, we shall continue to be at a remove. I cannot predict how we will handle those appeals. When individual libraries take a comprehensive approach to preserving collections, we may be able to consider funding those components that promise to rescue embrittled materials through filming and make them available to, and economically replicable by, other institutions. What is saved will have to carry the proper bibliographic apparatus in a nationally accessible file; and the institution's activity will have to fit into a coherent scheme for national action, however that may come to be defined. But even with each criterion met, and with an immense amount of sympathy for the crusade, it will be difficult, and perhaps impossible, for us to respond favorably. Again, I cannot say precisely what our policies will be because the Foundation is to have a new president shortly.[1] I do know, however, that research libraries and national preservation needs will continue to be of compelling interest to the Foundation.

If I were the director of a research library wondering how to make foundations pay attention to preservation needs, I would welcome the emergence of the Commission on Preservation and

[1] On January 1, 1988, William G. Bowen was appointed President of the Andrew W. Mellon Foundation.

Access with the enthusiasm of a sailor for port. Foundations—not just the Mellon Foundation--are drawn to organizations like the Commission because they offer so clean a way of entering a field and dealing with a problem. Through a centralized placing of funds, the painful need for discriminating among claims is, in effect, left to the field.

I have heard concern that the Commission may absorb money that would otherwise go directly to research libraries. Frankly, I do not believe that the major foundations would respond significantly in any case, and on a scale commensurate with the need, to proposals from individual institutions. (I leave aside those foundations, large and more likely small, that may be responsive to special appeals, for reasons geographic, programmatic, fortuitous, and unpredictable). As a matter of fact, before preparing this paper I asked friends at several foundations how they rated the prospects of their organizations' contributing to preservation needs in the nation's research libraries. Their responses were not encouraging.

Foundations are forever asking themselves not just "Where do we begin?" but "Once we do begin, where do we draw the line?" The question can rarely have had more point than in the matter of brittle books. For that reason, we may be forced to action that offers assistance and sends a signal of interest and concern but that leaves to others the agony of hard choices and the overwhelming weight of the financial burden. It is the sidelines syndrome in its naked state.

If the Commission were to be an effective mechanism for funneling money to a range of institutions—to test different approaches or mount model projects that meet local needs and at the same time add a patch to the crazy quilt of the national effort--it would have a seductive appeal for us. Seductive as well for others who might be sympathetic to the need and willing to help, but who despair of being able to decide which among the many characters are deserving and how they are related one to another, a situation not unlike those Shakespearean chronicle plays with a lot of cousins.

Further, the Commission might prove a powerful force for eliciting money for preservation from foundations that have no program for the purpose. Fewer phrases are more reassuring to foundations than the words "one time only." The Commission is ideally placed to argue for single, exemplary—although not necessarily modest—contributions to the cause, and if that happens, the Commission will attract to the field money that, absent its appeals, would not have been so directed.

I would like nothing better than to have my assessment of the way in which foundations will address preservation needs generally, and the brittle-books problem in particular, proven wrong. But private foundations will not be wooed easily from the sidelines to the action, and libraries risk delusion if they look to them with expectations set high of the mark. The financial burden will have to fall elsewhere—on government, for example, if the Commission achieves its purpose. Surely and inevitably, however, it will also fall on libraries and, where they exist, their parent institutions, particularly for those aspects of preservation that will be perceived to serve largely local needs (although those aspects are no less indispensable for that).

The grand effort to rescue what is in peril and to protect what is as yet intact will require generosity, flexibility, the willingness to yield on occasion and to cooperate as a matter of course, and the wit to distinguish what is substantial and to be protected from what is accidental and dispensable.

I am reminded of a recent experience in a New York restaurant where the waiter, after introducing himself, introduced the specials, using a kind of oral asterisk to mark those he was certain we would like. I was persuaded to choose an appetizer that he described as "hot smoked cheese resting on radicchio surrounded by sun-dried tomatoes and an assortment of baby vegetables and topped by red onion." "Fine, but hold the onion," I said, and Louis said, "No problem" In two

minutes I saw Louis conferring with the maitre d'. Both were looking fretfully in our direction. The maitre d' approached the table and laid it on the line. "The chef," he said, "cannot bring himself to withhold the onion. He believes it to be absolutely integral to the presentation. So what does the gentleman wish?" The gentleman wished to laugh but offered no resistance. When the controversial dish arrived, intact as it had been conceived in the mind of its creator, it was topped by three self-effacing, thin, indeed anorexic strips of onion. They all fitted easily into the ashtray. Yet what seemed a laughable matter to me had triggered a crises of professional conscience in the chef.

Let there be a minimum of red-onion issues clouding the air as the library community moves toward cooperative resolution of the brittle-books problem. Occasionally, against all natural disposition, someone will have to eat onions. Other times, the onions can go straight to the ashtray. Good will and a sense of shared purpose should make it much easier to decide in the years ahead what is genuinely integral to the presentation.

PRESERVATION ON THE INTERNATIONAL FRONT

Merrily A. Smith
Assistant National Preservation Officer
Library of Congress

Several years ago an enterprising company in the food processing industry undertook the somewhat daunting task of marketing its prunes to America's eaters. It is tough to juice up a product as dry as a prune. In fact, if one wants to be entirely honest, one would probably have to admit that it is a fruit that most people think of only when something isn't going quite right in their gastronomic lives. Nevertheless, the produce company was convinced that prunes are a growth industry as yet undiscovered by a relatively disinterested public; so they identified what it is about prunes that makes them hard to swallow, namely those teeth-cracking pits, and figured out a way to remove them. Buoyed by this achievement they broadened their horizons, looked to the future, and developed a slogan of promise at the global level that could not help but inspire even the most confirmed prune-hater: "Today the pits; tomorrow the wrinkles."

If you once thought that, like prunes, preservation is a topic only to be concerned about when something isn't going quite right in the life of your library collections, perhaps the preceding papers have convinced you that library preservation is an important growth industry. Perhaps, too, the many and varied ideas that have been presented will not only inspire its greater consumption but will also help us to remove what may seem to be the brain-crunching pits associated with implementing comprehensive preservation programs in North American research libraries.

I would like to extend the discussion herein to the global level by talking about the wrinkles: namely, the preservation activities that are underway in other parts of the world, and why they matter to the directors of research libraries.

Preservation Problems and Orientation in Addressing Them

Library directors the world over are faced with the same preservation problems: materials deteriorating because of the effects of unstable paper and inks; materials deteriorating as a result of poor handling, inappropriate treatment in the past, or general wear and tear through normal use; materials deteriorating from the effects of adverse environments in libraries; and materials deteriorating as a result of natural acts of God or unnatural acts of man. The interesting differences between the United States and other countries lie not in the exact nature of the problems themselves, but in their magnitude and in the imperatives underlying their solution.

United States

For example, the catalyst for U.S. preservation efforts over the past two decades has been our perception of the magnitude of the brittle book problem in our libraries. We are driven by

the fear, perhaps the fact, that we stand on the brink of the silent spring of scholarship as we struggle to deal with the challenge of providing access to research collections largely composed of materials printed on acidic paper, and containing millions of items that are too deteriorated to handle without seriously damaging or destroying them. Our primary focus at present, therefore, is on the development and implementation of technologies, programs, and standards that address this situation, both prospectively and retrospectively: mass deacidification, microfilming, reformatting onto optical disk, and the production and use of permanent paper.

The primary imperative underlying these solutions is access; and the concept of "access" has come to encompass all of the products and activities that contribute to bringing library users in contact with the information or materials they seek. In the pursuit of access through preservation the U.S. library community has committed itself to microfilming brittle materials on a massive scale, to computerizing and sharing bibliographic records of microfilmed materials, to sharing microfilmed copies with one another, and to developing large and interactive cooperative preservation microfilming projects. In conjunction with these activities the U.S. has taken the pragmatic (though problematic) stance that not all materials need be preserved in original format after filming.

Considerable effort is underway in the U.S. to undertake, improve, or expand programs for commercial binding, conservation treatment, stack maintenance, protective housing and storage, environmental improvement, and preservation-related staff and user education. At this point in our preservation history, however, such programs are, perhaps undeservedly, a secondary issue to that of dealing with brittle materials.

Europe

In Europe, the brittle paper problem, while present and recognized, is not perceived to be as pressing as it is in the United States, and probably will not be for another decade or two. (Based on existing statistical information, the brittle paper level in the United Kingdom (U.K.) is one third to one fourth as high as it is in the U.S.) Therefore, activities related to dealing with acidic paper and brittle materials are simply one, still relatively small (though rapidly growing), facet of the European preservation effort.

Most preservation efforts in Europe tend to focus, first, on coping effectively with the challenges of maintaining for use large, diverse, and, often, old collections, many of which are housed under less than ideal conditions in buildings that are difficult to maintain and modernize; and second, on dealing with the damage that is caused to collections by natural disasters (such as the Florence flood) and by human conflict. As Herman Liebaers, Past President of the International Federation of Library Associations and Institutions (IFLA), stated: "Men—meaning wars—have been the main enemies of these irreplaceable witnesses to our glorious past. Wars have also taken place in the minds of men, and have led, from the Renaissance to the present, to shameful *autos-da-fé*."[1]

The primary European imperative underlying the solutions to preservation problems is a commitment to preserving everything in original format. For example, the IFLA Working Group on Newspapers drafted a policy statement in April 1986 that reads, in part: "Each country should be responsible for preserving the original of newspapers produced within that country. . .Discarding of titles from a library's own country should not be undertaken without consultation with other

[1] Herman Liebaers, "Opening Remarks," in *Preservation Materials: Conference held at the National Library of Austria, Vienna, Austria, April 7-8, 1986*, edited by Merrily A. Smith (Munchen: K. G. Saur, 1987), vol. 1, p. 4-5.

research libraries and libraries of legal deposit in the country to ensure the survival of one copy of the original."[2] This attitude was reaffirmed at a symposium on newspaper preservation held in London in August 1987, during which a discussion group on conservation treatment summarized the view held by virtually every non-American participant by stating that at least one copy of every edition of every newspaper published should be preserved in original format by somebody, somewhere, somehow.

This commitment to preserve in original format—which, by the way, is shared by almost everyone else in the world—stems both from tradition and from the fact that many libraries obtain materials through legal deposit, and therefore consider themselves bound to the concept of preservation in original format. Consequently, the development and implementation of technologies, programs, and standards focus more on activities that enable retention (rather than reproduction) of original materials: deacidification, paper strengthening, individual and mass conservation treatment, environmental requirements for storage, and standards for building construction.

At the moment, the most active centers of research and development in the area of brittle paper are in France and the U.K. The Bibliothèque Nationale (France) is developing a mass deacidification process using a liquid system (methanol and magnesium carbonate) very similar to that currently in use at the National Library of Canada. The British Library is engaged in research on paper strengthening that involves the use of monomers and low-intensity gamma-ray irradiation.

In the Federal Republic of Germany (F.R.G.), the Federal Department for Research and Technology has recently granted funds to the Deutsche Bibliothek (Frankfurt) to undertake research in mass deacidification. The Battelle Institute has been contracted to assist with this research, which is being supervised by an advisory committee consisting of librarians and preservation experts. This group will examine existing technologies for mass deacidification, paying particular attention to liquid-based systems. The focus on liquid systems derives from the as yet unconfirmed belief (expressed by Dr. Elmar Mittler, Director of the University of Heidelberg Library and a member of the Advisory Council for the project) that such systems may hold greater promise for paper strengthening as well as deacidification.

There is also growing interest in Europe (primarily in the U.K., Norway, Sweden, and the Netherlands) in the manufacture and use of permanent (or as the English call it, "long-life") paper. Some progress in this area, though not as much, has also been made by the French, Germans, and Austrians. The U.S. serves as the model for these activities, and the *American National Standard for Information Science—Permanence of Paper for Printed Library Materials* (ANSI Z39.48-84) is currently up for consideration by the International Standards Organization as an international standard.

The long European tradition of conservation treatment, coupled with the commitment to preserve in original format and with the need to treat vast quantities of war-damaged materials efficiently, has led to some interesting developments in conservation technology. For example, the National Library of Austria has invented an aqueous process for bulk-strengthening of newspapers. Although large numbers of newspaper volumes cannot be treated at once, the Austrians consider the system effective, affordable, and suitable for the needs of their library.

The Deutsche Buecherei in Leipzig, German Democratic Republic (G.D.R.) has perfected a system of strengthening paper that involves splitting the original sheet, inserting a thin sheet of

[2] Draft policy statement on the retention or disposal of newspapers after microfilming, prepared by the Working Group on Newpapers, International Federation of Library Association and Institutions, April 12, 1986.

tissue paper in between, and gluing the paper back together again. This technique is applied to rare and non-rare materials alike and is used with great success on brittle paper, on paper extensively damaged by mold, and on paper that is severely deteriorated from the effects of iron gall ink. A staff of four is capable of treating several hundred sheets of paper per day.

Another interesting development relates to the issue of preserving collections through better environmental control. Although air conditioning is seen as an effective method for maintaining a moderate and uniform environment in a building, there seems to be a movement afoot against full air conditioning. In fact, David Clements, Director of the Preservation Service at the British Library, sees a trend toward designing buildings that can be climatically appropriate without air conditioning. Some institutions, for example, are constructing buildings that are largely underground, and the archives building in Koblenz, F.R.G., has six-foot-thick walls simulating those of a castle. This architectural concept has generated considerable interest, and is one of many currently being studied by the National Library of Canada in Ottawa.

The concept of substituting original paper copies of materials with microfilm or microfiche is becoming more widely accepted in the European community, although not hand-in-hand with the American concept of discarding the original. Producing film copies is seen as a useful technique for preserving the fragile paper in modern collections because use of a substitute copy minimizes handling of originals. Thus the rate of "preservation" microfilming in many libraries is increasing rapidly. Once an item is filmed, the original can be taken out of circulation or stored off site, or both. For example, at the Conservation Center in the Chateau de Sablé where all the microfilming for the Bibliothèque Nationale is carried out, books are filmed; then deacidified, repaired, rebound, or boxed as necessary or appropriate; then placed in permanent storage in the Chateau. The master negative is also stored in the Chateau and a film copy is returned to the main library in Paris.

The increasing rate of microfilming is leading to increased demands in the European community for national bibliographies and for registers of items filmed. Efforts are being made in some countries to put this information on-line at various institutions. The U.K. has made the most progress in this area. In Fiscal Year 1987, the British Library produced 7.9 million frames of archival master negatives (approximately 4 million newspapers and 3.9 million books, serials, and manuscripts). A register of microfilm masters has been created on the Library's mainframe computer as a batch file, which now contains approximately 14,000 records. The Register was first published in February 1986. Every two months fiche copies of this file are produced on computer-output microfilm. At present, the fiche copies are distributed to two national libraries: the Bibliothèque Nationale and the Deutsche Forschungsgemeinschaft (Bonn, F.R.G.). The British Library is discussing with other U.K. copyright deposit libraries the addition of these libraries' microfilm records to the *British Library Register of Microfilm Masters*, in order to create a national register of microfilm masters.

In France, a register of microfilm masters has existed for four years and is produced on fiche once a year. It contains 15,000 to 20,000 records and is being added to at the rate of approximately 5,000 records per year. The British Library and the Bibliothèque Nationale exchange their microfilm registers on a regular basis, and have agreed that each library will buy film copies from the other as needed, instead of refilming. The British Library is working to develop similar cooperative agreements with F.R.G. lending libraries, whereby the British Library would provide them with a list of what has been filmed. The F.R.G. has expressed strong interest in such a cooperative arrangement. The British Library has also started to exchange records with the Research Libraries Group.

Another development in the U.K. that is of particular interest to U.S. Libraries is a project

that has been undertaken by the publisher Chadwyck-Healey. Nineteenth Century imprints--largely in the collections of the British and Bodleian Libraries, but also in other major libraries--are being microfilmed and sold as part of a large set of microfiche under the title *The Nineteenth Century*. All bibliographic records generated by the project are being entered into the *British Library Register of Microfilm Masters*.

Africa, Asia, Central and South America

Turning now to other regions of the world: Africa, Asia, and Central and South America. Most of the countries in these areas can be considered at the same time in a worldwide overview of preservation activities because of one very important element that they have in common—that is, climate. As Herman Liebaers put it, "The tropical and sub-tropical climate found along a wide equatorial zone takes upon itself the destructions that men assume in more temperate areas."[3] Ashin Das Gupta, Director of the National Library of India, states the situation more precisely: "Our enemies are heat, humidity, dust, and a flourishing insect life."[4] As a result of these climatic conditions, the embrittlement problems typical of 19th and 20th century paper are considerably greater in these regions; as is the physical damage caused to all parts of books by mold and insect attack.

Climatic challenges to preservation are difficult to combat, even under the best circumstances. Unfortunately, many of the countries that lie in the tropical and sub-tropical regions lack the resources with which to deal with their problems. Das Gupta states:

> By international standards our collection is small, but given the constraints in our resources we are hard pressed to formulate priorities in the task of preservation. . . .
>
> We do what we can . . . I am afraid, however, that the enemies are more than we can master at the present moment. . . .
>
> Air-conditioning as much of the space as we can, pressing on with the microfilm cameras, fumigating and deacidifying ever larger areas in our stacks—such are the weapons with which we contend with the environment, apart, that is, from the despairing art of physical restoration. . . .
>
> From what I have said you can understand that we do not do anything to preserve the books we buy until, of course, they are almost beyond redemption and even then only occasionally. The priorities of preservation in this library actually mean a kind of planned deterioration of much of the collection. This, however, is the cruel fact with which we

[3] Herman Liebaers, *Preservation of Library Materials*, vol. 1, p. 5.

[4] Ashin Das Gupta, "Collecting Policies and Preservation: India," in *Preservation of Library Materials*, vol. 1, p. 22.

> live, and it can be mended only slightly in the future."[5]

Many developing countries also suffer from lack of materials and equipment for preservation, lack of trained personnel, and, sometimes, simple lack of interest. Says Sally P. C. N'Jié, Chief Librarian of the National Library of Gambia, "A characteristic distinctive to man is his ability to communicate through the written word and graphic records. Libraries were established to bring such records together from different sources for use and preservation. . . . Unfortunately, in the Third World, particularly Africa, libraries are not rated very high."[6]

Given this situation, it is small wonder that librarians in the developing countries look to the developed countries for both information and guidance. In the view of Lourdes Blanco, National Library of Venezuela, the need for such knowledge in developing countries is paramount. In a paper she delivered at the first international Conference on Preservation of Library Materials held in Vienna, Austria in 1986 she stated,

> This paper . . . is an unabashed appeal to gain access to the conservation knowledge that appears to be locked inside the preservation palaces of powerful countries. Exaggerated as this phrase might sound, it underlines how we often tend to imagine major libraries in the world: great containers of knowledge floating though time. Occasionally, we look into these palaces. The walls are constructed of solid scientific thinking and research; the floors, an intricate tapestry of skills and traditions; the ceilings, domes of major funding; the climate, a delicately regulated ambience in which highly trained specialists seek solutions to the conservation problems of paper and photographic objects that their own industries created and, in a way, maligned. Outside, the sense of time disappears; one is reminded of the dismal landscape described by Jorge Luis Borges in the *City of the Immortals*!
>
> The conservation field is a particularly painful example of how little a country can do for itself without access to information and to the intelligent criteria that it generates."[7]

Even if the knowledge that Mrs. Blanco demands is made available, the developing countries need assistance in its application. Unfortunately, the direct assistance that is rendered is not always that helpful. Many consultants tend to recommend high-tech solutions to problems, and the needy countries then find that they either cannot import materials and equipment because of financial or exchange problems; or they acquire sophisticated equipment that is not accompanied by the training needed to maintain it. When maintenance expertise is available the materials and parts needed for repair are often impossible to obtain.

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[5] Ashin Das Gupta, *Preservation of Library Materials*, vol. 1, p. 22-23.

[6] Sally P. C. N'Jié, "Collecting Policies and Preservation: The Gambia," in *Preservation of Library Materials*, vol. 1, p. 24.

[7] Lourdes Blanco, "Expanding Criteria for Conservation in Spanish-Language Libraries of Latin America," in *Preservation of Library Materials*, vol. 1, pp. 96-97.

Why Worldwide Preservation Activities Matter to the Directors of ARL Libraries

Why does any of this matter to America's research libraries? After all, the U.S. has put more thought, more effort, and more money into library preservation than has any other country in the world; we are the mainstream; we lead the world in this field. But to lead does not simply mean to be out front. It also means to teach, to guide, to give on an international scale. (It seems that to everyone but Americans the concept of internationalism in preservation falls into the category of "truths that are self-evident.") It is in our best interests to take our leadership role in preservation seriously because, in the world of scholarship, any loss of the collections of mankind is a shared loss. To repeat the statements that Dr. Billington makes in his paper "The Moral Imperative of Conservation" (presented at this meeting):

> The preservation of memory and the conservation of the primary artifacts of humane learning have a special urgency . . . to the United States of America, above and beyond their general importance for all humanity.
>
> . . .
>
> By world standards . . . we are still a young nation . . . We need, therefore, as a people, to supplement the inventory of our relatively short and exceptional national experience, so that we can better deal with the international community with which we are increasingly interinvolved.[8]

The growing interinvolvement to which Dr. Billington alludes will be important to the American library community for a variety of reasons at a number of levels. For example, all American research libraries have foreign holdings, many of which are large, important, and in very poor condition. Considering this situation at the most basic and pragmatic level, the more that libraries in other countries invest in the preservation of their own imprints, the less American libraries will have to do (and spend) to preserve these materials. By becoming involved with the international library community, American librarians can work to ensure that information about preservation activities being planned, or in progress, is fully shared; to ensure that the products of preservation activity meet agreed-upon standards; to encourage the development of cooperative programs and projects; and to ensure worldwide access to preserved materials.

The preservation technologies and approaches being explored abroad as a result of priorities and philosophical orientation that differ from our own will also be very important to future preservation efforts in the U.S. Once American research libraries move beyond the crisis management mode resulting from the magnitude of the brittle book challenge, their focus will once again broaden. More attention will be devoted to the problems associated with the preservation of collections in original format—which is what we would all prefer to do if we could. Much is to be gained from the experience amassed by other countries in developing, for example, the technology of mass-strengthening of weak paper and the techniques of bulk conservation treatment. As the construction of new buildings is considered, we will surely want to examine the data gathered through the use by others of innovative architectural design for environmental control.

Most other countries in the world are developing preservation initiatives under conditions that differ from those in the U.S. Those countries may be poor; they may be small; their political

[8] See James H. Billington, "Conservation: The Moral Imperative" in this volume.

structure may be less flexible than our own. Although from the U.S. perspective such conditions might be seen as inhibiting factors to progress, the fact of the matter is that these very conditions may enable other countries to play a leadership role, in certain aspects of preservation, that eclipses our own—and in so doing develop useful models that the U.S. can follow.

Consider the case of India, for example, where even the national library has the meagerest of resources for coping with deteriorating collections. Das Gupta states:

> Given that our priorities in preservation mean a kind of watchfulness over destruction, and our collection management is no more than an attempt to save our lives by buying what we must, I am sure you will agree . . . that what India needs—and countries in India's position need--is a carefully thought-out national policy for preservation, so that on the one hand, taking all libraries together, we preserve what is significant in our cultural heritage and again, taking all the libraries together, we have an adequate coverage of human knowledge, which the country needs.[9]

Since 1986 when that statement was made, a national committee has been formed in India and is taking initial steps to create such a policy.

In Australia, where (as in most countries) the initiative for national efforts comes from the government (that is, from the top down)—as contrasted to the U.S., where national activities tend to develop out of grass-roots efforts (that is, from the bottom up)—considerable progress has already been made in creating a large-scale, comprehensive national preservation program.

Leadership in other areas may be possible in other countries. For example, in Venezuela the government is the major funder behind various kinds of publications and is the main publisher of books. For this reasons the government of Venezuela is in a strong position to decree that henceforth all publications will be printed on permanent, durable paper, thus capping, in one fell swoop, the brittle book problem for Venezuelan imprints. Some progress in this direction has already been made. On April 23, 1987, a decree was published that defined policy for promoting the development of the book industry. Included in this policy is the possibility of importing paper, with preferential dollars, if it is of higher quality than paper already available in Venezuela. The National Librarian of Venezuela continues to work on the goal of publishing all Venezuelan books on permanent paper.

To return to my earlier analogy of the prune, the U.S., as the acknowledged international leader of the preservation effort, has developed many innovative strategies for removing the pits from preservation problems. Inspired by our leadership and building on our experience, other countries are making strides, individually and cooperatively, in working on the wrinkles. The world is on the move in the field of library preservation, and U.S. libraries must seize the opportunity to become further involved in these international activities. By working cooperatively with other countries and by contributing what we can at the international level we will strengthen our own preservation efforts, will maintain our leadership role in this burgeoning field, and, as various trickles merge together, will remain in the mainstream of the torrent of unified effort.

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[9] Ashin Das Gupta, "Collecting Policies and Preservation: India," in *Preservation of Library Materials*, vol. 1, p. 23.

CONCLUSION

A TIME TO ACT

David C. Weber
Director of Libraries
Stanford University

In conclusion, I would like to outline one simple methodology that could be used by the directors of ARL member libraries to calculate, roughly, the scale of effort needed as we establish or increase the dimension of preservation programs in our institutions.

I shall start by referring to some of the preliminary data prepared by Professor Robert M. Hayes of the University of California at Los Angeles Graduate School of Library and Information Science, for a study commissioned by the Council on Library Resources in 1984.[1] His draft report uses figures based on the total number of volumes held by ARL libraries in Fiscal Year 1986. He estimates that of that number [approximately 321.7 million volumes[2]], 75 million volumes are imminently at risk of being lost because of their deteriorated physical state. Professor Hayes takes into consideration the projected growth of our collections during the next twenty years, the overlap in holdings among our members, and the titles already microfilmed, and concludes that some 3.3 million volumes must be saved by preservation microfilming over the next twenty years.

Taking that 3.3 million volumes as a reasonable order of magnitude, and recognizing that *volumes* make up only part of the collections needing preservation, what is the appropriate size or scale of the reformatting program that each of us should have in his or her own institution? If we divide the total number of 3.3 volumes by twenty years, it follows that 165,000 volumes per year need to be microfilmed—or 1,400 volumes per ARL library per year. However, involvement of all of our libraries at an equal level is unrealistic. One might, then, use a formula based on a particular library's materials expenditures as a proportion of the total expenditures for all ARL libraries. The latter figure was just under $363 million in Fiscal Year 1985. If each library were to determine the percentage of the total that its own expenditures for materials represents, and multiply that percentage by 3.3 million, it would come up with a figure for the total number of volumes that it should be responsible for preserving over the next twenty years.

Using Stanford University as an example (an institution that accounts for 1.64% of the total ARL materials expenditures), we would by this formula be responsible for preserving 54,087 volumes over the next twenty years, or 2,700 per year. Stanford's preservation office must increase its effort by 50% to meet this suggested quota. For Stanford University, that work load is well beyond present capacity. Thus we need to set production goals; and to develop a regular flow of

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[1] Robert M. Hayes, "The Magnitude, Costs, and Benefits of Preservation of Brittle Books." Series of five unpublished reports (Washington, D.C.: Council on Library Resources, November 30, 1987).

[2] From *ARL Statistics, 1985-86*, compiled by Nicola Daval and Alex Lichtenstein (Washington, D.C., Association of Research Libraries, 1987).

university dollars (and hopefully some combination of federal, state, and foundation funds) into preservation budgets to support stable programs of the scope appropriate to our institutions. While it will be difficult, in these tight budgetary times, to reallocate dollars from other parts of the library budget to increase our preservation capability, we must do that to some degree to demonstrate that preservation is a priority. We are all aware, however, that research libraries have great difficulty in meeting current expectations regarding collection development, processing, and services. It seems to me, and to many others, that since preservation programs carried out to national standards are in a very real sense a critical national asset—just as are our national highways and national defense programs—so the federal government and state governments should be stimulated by private giving to support the preservation of unique resources and the development of pilot preservation programs in institutions. Governmental funding and grants from foundations should provide the major source of support for the long-term brittle book preservation effort that we all must make.

Challenged by the threat to scholarship posed by deteriorating library collections, we must recognize that this is a time to act: to plan, to budget, to staff, to work in collaboration with the Commission on Preservation and Access, to urge (and indeed demand) Congressional support, and to embark upon a necessary task. Otherwise, the scholars, researchers, and advanced students in the decades ahead will have crumbling materials to deal with or will, in fact, find that a portion of our cultural heritage has been lost. We owe it to our communities and to our successors not to fail in meeting this challenge.

BUSINESS MEETING

BUSINESS MEETING, SESSION I

[President Herbert F. Johnson (Emory University) convened Business Meeting, Session I at 3:30 p.m. on Wednesday, October 21, 1987, at the Omni Georgetown Hotel, Washington, D.C.]

ANNOUNCEMENT OF VICE PRESIDENT/PRESIDENT-ELECT FOR 1988

Mr. Johnson announced that the ARL Board elected Charles E. Miller, Director of Libraries at Florida State University, to be Vice President/President-elect for 1987-88.

EXECUTIVE DIRECTOR SEARCH COMMITTEE REPORT

Anne Woodsworth (University of Pittsburgh), the chair of the Search Committee for a new Executive Director, introduced the other members of the Search Committee: John Black (University of Guelph), Charles Miller (Florida State University), and Merrily Taylor (Brown University).

Ms. Woodsworth expressed appreciation for the letters, phone calls, and e-mail messages she had received from directors and asked for more comments or suggestions. The committee has an active list they are pursuing and expects to finish its task on time. Its target is to make a report to the Board at its February 1988 meeting.

REPORT OF THE TASK FORCE ON RESPONSIVENESS TO MEMBERSHIP NEEDS

Mr. Johnson introduced the primary agenda item for this section of the Business Meeting: a discussion of the work of the Task Force on Association Responsiveness to Membership Needs. He noted that there have already been some changes in arrangements for the membership meeting, arising in part from suggestions made by the task force. These include a new style of name tags, better guidance to meetings rooms, and a "pre-meeting welcome" reception. He then introduced Kenneth Peterson (Southern Illinois University), chair of the task force.

Introduction

Mr. Peterson: Thank you, Ted. We appreciate the opportunity for the task force to have a program this afternoon. The task force, as you will recall from reading the ARL Newsletter, was appointed late last winter and asked to look into a number of areas of the Association's responsiveness to the needs, the desires, and the hopes of its members. When I received the call from the Executive Director asking if I would serve on the task force, and then springing it that I was also being asked to be chair of the task force, I wondered at first if I had said something nasty about the Association: why me! Second, as we talked about it, the emphasis was not that

there was anything wrong with the association, but rather that we wanted to make a good association even better. That has been the focus of the task force and the concerns that we have been addressing.

The members of the task force are Richard Dougherty from the University of Michigan, Anne Woodsworth from the University of Pittsburgh, Elmer Smith from the Canada Institute for Science and Technical Information, Joanne Euster from Rutgers University, Duane Webster, who serves as the staff liaison, ex officio member of the task force, and myself. The Board asked us to look at five areas.

1. The format of ARL meetings: are there things that could be done to make the meetings more interesting, to make the programs more responsive to our needs, and to improve the logistics of our meetings. I hope that you will already begin to see, with the name tags and the pre-meeting reception, that some differences have already been made.

2. The methods of decision making within the Association and how, in the course of decision making, we can build a sense of consensus and support among the members for the activities of the Association.

3. Board awareness and responsiveness to the needs and interests and the concerns of the members, and how the governance structure of the Association responds to the members needs.

4. The committee organization and the goals that are set for committees, in the sense of trying to build a sense of ownership on the part of the members to serve on the committees and a commitment to the programs and the activities of the Association.

5. Diversity: while recognizing the diversity among the member institutions of the association, how can we foster and develop a close supporting relationship among the directors, especially as we were facing some serious needs, times of decisions, and problems in all of our libraries.

The format for our meeting this afternoon will consist of a brief panel discussion, in which each task force member will give a two or three minute presentation on one of these five items. We will then break up into discussion groups. We will allow about an hour the discussion groups and hope that you will return as promptly as possible so that we can reconvene quickly. We will have brief reports from the leaders of the discussion groups and an open discussion from the floor of any of the matters in the charge to the task force, or issues that were raised in the discussion groups, followed by a summary wrap up.

I am going to talk about the first area: ARL meetings. Richard Dougherty will discuss the methods of decision making and of building consensus and support. Following that, Anne Woodsworth will address the Board's awareness and responsiveness to the needs of the membership and how to ensure a governance structure that is responsive to the concerns of the members. Joanne Euster then will look at the committee structure and the purposes and goals of the committees and how we can develop a sense of commitment and ownership on the part of the

members of the Association. Finally, Elmer Smith will talk about recognizing both the diversity of members, and the need to foster a sense of collegiality and supporting relationships among the directors of ARL member libraries.

ARL Membership Meetings

The specific wording in the charge, with regard to the ARL meetings, that we received from the Board was "Does the current format for ARL Membership Meetings meet the needs of the Association? How can meetings be made more responsive and how can we stimulate more involvement on the part of the directors in the meetings?"

I would begin by asking you if you noticed any differences when you came to the meeting today. We have made strong recommendations with regard to finding rooms for our meetings that do not have meeting rooms pillars. We have also suggested that the rooms be arranged in such a way that no member sitting in the audience is far from the podium or the front of the room, so that there can be a sense of closeness and participation and involvement.

These are the interim recommendations that the task force members submitted to the board at the May 1987 ARL Meeting.

1. Recognizing that some of us are having a little more difficulty with our bifocals and our trifocals, name tags that we could read easily with first names prominent so that we can easily identify people as our colleagues.

2. Meeting places that are as conducive as possible for free flow of discussion with a feeling that we are together in the room with no one isolated, and, wherever possible, no barriers.

3. Only the program portions of the meetings should be recorded, with mikes available for amplification, but that people not be expected or required to identify themselves if they choose not to do so. Also, responses at the meetings be summarized instead of printed verbatim in the proceedings of the meetings.

4. Hosts and hostesses be assigned for new members at receptions and at the banquets.

5. Association Board members and staff members be available at the meetings, at the registration desk and at the social hours, to mingle with people and to respond to questions and listen to the concerns that are being expressed by members during the meetings.

6. On the first full day of the Association meeting, there should be a continental breakfast prior to the first session so that people can come in and mingle and we can get the meetings started on time.

7. As soon as possible in the meeting, issue a list of all the people who are in attendance: the regular directors, the directors new to the Association since the last meeting, the alternates who are representing directors at the

meetings, and guests.

8. Remind all members in the announcements that go out prior to the meeting, that Board meetings and committee meetings of the Association are open meetings, except for executive sessions, and that directors are invited to attend the meetings to become acquainted with the operations of the Association, and to contribute their ideas.

We hope that these preliminary recommendations that have been submitted and were well received by the Board will begin to open up what the task force hopes to accomplish in making the Association truly more responsive to the needs of the member institutions.

Consensus Building and Decision Making

Mr. Dougherty (University of Michigan): When I became associated with an ARL library, my director was Ralph Elsworth, who was very much involved with and committed to ARL. It was a time in which, unless one was on one's death bed or had a broken leg, one managed to find a way to get to ARL. It was characterized as a "must" meeting. This was a time, also, when people took two- and three-day trips on railroad trains; they played red dog and poker, and they cut deals. I suppose you could say it was a typical "old boy's" organization.

But we also have to remember that was a simpler time. This mythology about ARL has lived on without clearly understanding what changes have taken place. These changes have a great bearing on how we make decisions, and understanding the differences in the organization, I believe, will have a great bearing on how we can successfully bring about more effective decision making in an organization which, indeed, has become larger, much more diverse, and more complex. I say that even though we only have 118 members.

We should keep in mind that a generation or so ago, ARL was really, in a sense, the only game in town. It has only been in the last 15 or 20 years that the pressures on us as directors and the pace of life on most campuses has really picked up. If nothing else, one can say the technological change is driving all of us--maybe driving our organizations faster than we can keep up. There is also the rise in the growth and the influence of the bibliographic utilities, OCLC and RLG, the changing role of the Council on Library Resources, the growing and changing role of the Library of Congress and the other national libraries. And most recently, there is EDUCOM trying to compete for our time. I should also mention the regional and the state networks with which many of our members are actively involved.

This afternoon, we were looking at the historical attendance records, both the representation of libraries and attendance directors since 1967. Without going into the numbers, it's pretty impressive, considering the competition for our time and energy.

But under the rubric of decision making, what we need to do is examine how an organization such as ARL, as it is presently composed, finds ways to reach consensus on important decisions. I would say, from working with the task force, that that is not an impossible task.

Governance Structure

Ms. Woodsworth (University of Pittsburgh): I want to talk primarily about the governance structure of the Association, which, presumably, is meant to encourage interaction and lead to timely identification of policy issues and decisions. The task force, however, has identified a

number of concerns, issues, and questions about that governance structure that some of our members have.

What I would like to do is share with you some basic information about the governance structure that is not apparent in the *ARL Bylaws*. All of you have received a copy of the *Bylaws*, so you know what the overt structure is: there is an Executive Committee, a Board of Directors, a Nominating Committee. There are some traditions and procedures, however, that are not explicit in the *Bylaws* and, as a result, may not be as clearly understood as many of us believe they are. For example, when I became Vice President/President-elect, I learned that one of my first tasks was to chair the Nominating Committee. I was advised that the best way to ensure that that job got done was to find two other committee members as soon as possible and target the prospective nominees for next year's Board immediately. In other words, get the job out of the way. The nominees, then, are presented to the membership at the next fall meeting, as at this meeting, and we openly vote on those three people. It has been a tradition for some years now, for some historical reason that I will not go into, that there are only three nominees, though, of course, there can be nominations from the floor.

How is the Vice President/President-elect chosen? The Board elects the Vice President/President-elect at the beginning of its October meeting. There are no nominees, rather each Board member simply votes for one person to be Vice President. It is a very informal process and one that, I gather, has evolved over the years as a "gentlemen's approach" to electing a president.

What about task forces? What about committees? How did they get set up? The Executive Committee, in December, reviews the existing composition of committees and, taking into account the surveys that we usually send out during the summer, review the interests of members and the needs of the Association in terms of current and upcoming issues and activities. A number of factors are taken into account. We consider newer directors versus those that have been around for a number of years. We review the RLG, OCLC, Canadian interests of the committee's current make-up, always aware of the need for balance and the need to represent the diversity on task forces and committees. ARL's standing committees have been around for a while. Task forces, however, are set up in response to a particular need with a specific term of office. Task forces can be suggested in several ways. One of the most recent successful ones was suggested by David Weber writing a letter to the Board about government information electronic format.

There are, however, issues that neither the staff, the Board, nor you, as members, have identified, and thus may be overlooked. The question is how do we, given the structure, make better use of the structure, or how should be alter it to be responsive to issues.

Committee Structure

Ms. Euster (Rutgers University): ARL uses committees of members as the principal method for doing the work of the Association. It is also the principal way in which individuals are able to participate in ARL. Our goal should be to provide for committee organization, composition, and resources that ensure active pursuit of the Association's goals. The ARL Bylaws provide that "standing and ad hoc committees as may be needed to carry out the business of the Association may be appointed by the Board of Directors."

There are currently two designated committees: the Executive Committee and the Nominating Committee. If the revisions to the Bylaws are adopted, we will have three designated committees, and the Committee on Membership will be added.

Let me quickly name the other committees that currently exist. They are the Committee on ARL Statistics, the Committee on Government Policies, the Committee on Bibliographic Control, the Committee on Collection Development, the Committee on the Preservation of Research Library Materials, and the Committee on the Management of Research Library Resources. There are also two ad hoc committees, the Executive Director Search Committee and the Program Committee for the Fall 1988 Meeting, and two tasks forces, the Task Force on Government Information in Electronic Format and the Task Force on Association Responsiveness to Membership Needs.

The perceptions of the Task Force on Association Responsiveness to Membership Needs have been that the purpose and role and work of at least some of the committees are not always well understood by members. We developed a list of questions and we hope some of the answers, some of the concerns, will be addressed in the discussions this afternoon. These issues have to do with what kinds of committees we have. Do we have the right committees? Are they relevant to our task right now? Why do we have them in the first place? How do we decide on the creation of committees? How do we rationalize our committee structure, so that it represents what it truly should represent?

The membership of committees is also of concern. Anne has mentioned how members are appointed to committees. An equally relevant question is do members want to serve on committees? Should service on committees be considered a responsibility of membership in the Association? At the same time, should we be looking at using expertise from our staffs, individuals who are not directors on our various committees? If we did this, would this broaden participation in the Association? Would it be a useful thing for us, or would it perhaps further diffuse the organization, which has become larger and less personal than it used to be?

Finally, there are issues of how committees are supported. Should ARL continue to pay the expenses of committees? If committee participation is broadened to include staff, would directors be willing to support financially the participation of their staff members in committee service?

Underlying these kinds of questions is really a fundamental issue of whether the present committee structure is the desireable way for ARL to conduct its business. In light of the kinds of questions, could the committee structure be improved? And finally, does it meet our needs, given our mission and purpose?

Diversity

Mr. Smith (Canada Institute for Scientific and Technical Information): Everyone is aware of the diversity within the ARL membership. Some of the diversity is so obvious that it is hardly worth mentioning: small vs. big, Canada vs. the United States, public vs. private, etc. Basically, what we must do is ensure that we use the diversities, which we have and we recognize, as something constructive and productive in our operation, something which will lead to cooperation and collaboration. There is evidence, unfortunately, that some of our diversities have led to divisive effects within the organization. I do not want to elaborate on anything of that nature which tends to be negative, but let me just suggest something to you.

A diversity which exists in the organization is old and new. We started out some 20 years ago with 78 members. Now we have over 100; 40 members have been added in the last 20 years.

I would like to pose a question for the people who have been ARL members for a long period of time: What have you done to make the new directors and members feel at home? What have you done to make them feel that they can contribute to the solution of the problems which ARL is addressing? And what have you done to encourage them to tell you what they

might be able to do to help you solve some of these problems? This is the kind of issue that we must to consider. I believe the trick is to take a look at our diversities and make them work for us, to our individual and collective advantage. I suspect that we have not done that as effectively as we should have.

Finally, let me throw this out, and I do not intend it to be a motherhood statement. I feel very sincere about this. I believe we have to ask ourselves this question. What do each of us do to make each other feel a full member of ARL—a full member of a very important club and a full member in the sense that each director participates in the decisions that impact on the Association as a whole.

Reports from discussion groups

Mr. Peterson: We will now move to the group reports. We ask each group leader to report briefly. Following the reports, we will have opportunity for general discussion, comments, and questions from the floor before the wrap up.

In giving the reports, we have asked the group leaders to provide the following information. First, we would like to find out which of the five areas—or any other area—was viewed as the primary concern. Second, we would like to know what the major concern in that area is and the major recommendation, if one was made. Finally, we would like to ask the group leaders if the topic that you have identified as your priority concern has already been covered by one of the previous groups, and you do not have anything that is startlingly new or different to add what has been said, please go on to your second priority item because we would like to try to cover all of the five areas among the eleven groups that we have. Following the group reports, we'll have general discussion and questions and comments from the floor.

Group 1: **Dale Canelas**, University of Florida:

Group one agreed that of the important issues are, in order: decision methods, membership, and diversity. We believed that the major problem in decision methods was that the Association has difficulty in deciding which issues to give priority to and that there was not a consistent way for program ideas to be aired. If the Association could develop a structure that, in some way, illustrated greater consensus in reaching decisions as to which issues to pursue, that would be of great help.

The group also agreed that it is very important that ARL speak out more on national issues. We need to influence groups—university presidents, other institutions that affect research libraries, etc.—that we are not now influencing sufficiently.

With regard to membership, the group was also very concerned about diversity in membership. We would like to see ARL try to bridge the differences: e.g., bibliographic utility, nationality. We agreed that ARL had to be fair to all members, but that we still needed to do a lot more work. There really were not any specific suggestions as to how that might be accomplished, but a lot of good will was expressed.

Group 2: **Marilyn Sharrow**, University of California, Davis:

We had a lot of fun in our group and we agreed on everything, so if you want to use us as a model for the future, you can. We decided that diversity was the most important issue for us, followed closely by consensus. Diversity we saw as positive and we looked at all the different kinds

of diverse things that the organization brings. We found those to be very healthy and that is why ARL is a healthy organization.

One of the things that we talked a lot about was leanness and flexibility of the organization, that too much structure was perhaps still defined. Not too much governance and not too many committees would be very good, indeed. We look for substantial programming with depth and scope, but we want it to be about current issues so that the two or three year lead time for programs may be too long for us. We also suggested that we use our own ARL expertise, rather than bringing in outsiders all the time, and that task forces and ad hoc groups be used more than standing committees.

The theme that we kept coming back to again and again was the issue of discussion groups. Several people commented that ARL, a long time ago, focused on discussion groups. Someone suggested that today was a perfect example, with the serials issue, that the discussion group was healthy, active, and very lively, and that people got a lot out of it. We would like to do more of that.

Finally, ARL is a peer group association; we do not have peers on our campuses. This is the one place where we can come and talk to one another in a peer-like situation and that we do not ever want to lose that—it is very positive.

Group 3: **Paul Gherman**, Virginia Polytechnic & State University:

Overwhelmingly, the key interest of our group was diversity, although I would say our discussion ranged between diversity and the structure of the membership meeting. The two are tied together in many ways.

Our belief was that the membership meetings need to be structured to gain what there is from the diversity, that the membership meetings themselves should have less structure. Someone said that we all have a short attention span, and by the time one of the topics comes up that has been planned for several years, we are no longer interested in it. We need more immediacy in the topics that are addressed. We discussed whether we ought to rely more on small group discussions in which the topics could be selected as late as possible--indeed, individual directors could even start a discussion group during this time--but we agreed we still ought to block out time during the membership meeting, two hour blocks, for full discussion. We should plan to have, for example, ten rooms and people could pick the room they wanted to go to and the directors could pick which topics they wanted to discuss. They could be immediate, developed within even the last two weeks before the meeting started.

We also talked briefly about consensus, that it was important to find a vehicle to help achieve some consensus. There was some discussion that that might be done by mail, e.g., mail out questionnaires and discussions, and a lot of directors could report back through the mail, rather than try to reach a consensus at the meetings themselves.

Group 4: **Joseph Boisse**, University of California, Santa Barbara:

We did not come up with many suggestions, but we did have a few comments. I will try not to repeat anything that has been said. Our major concern was membership diversity; the second was consensus building and decision making.

Other than membership diversity, none of us felt that diversity in itself was a negative factor. But we agreed that we ought to find ways to build more cohesiveness among ARL directors.

There was a feeling expressed that a great deal of energy is spent in and attitudes formed by alliances extraneous to ARL, and these impact greatly on those of us in this room. Specifically, we were talking about OCLC and RLG. We believe we ought to try to find issues where ARL can provide leadership that cannot be provided by other organizations.

In the area of decision making and consensus building, on the one hand we believed that we do seem to have a problem arriving at any kind of decisions in terms of action--and we used the serials issue as one that we know has been discussed for about three years. But then someone else commented that when we finally arrive at a decision, we seem to have a great deal of trouble implementing those decisions, and cited, as an example, the recent ARL Recon Project. An opinion that was also expressed was that we, as an organization, are frequently or seem to be frequently overly responsive to the squeaky wheels, exemplified by a very vocal minority in some of our meetings. Also, that we lose sight of the fact that we represent a very special group, e.g., the research library community, and that we are too hesitant at times to take a stand on issues which are important to that constituency but may not be important to the rest of the library world. In other words, we are too cautious.

Group 5: **Sharon Hogan**, Louisiana State University:

Unlike the other groups, we did not have a lot of diversity. In fact, we had a remarkable consensus. We did not know which issue to talk about! We finally settled, with a slight margin, on governance. There was a lot of discussion about the fact that even though we are a large group today, our method for choosing the Board and the president has become more and more informal. We moved on that from that point and then discussed pros and cons of having a slate run for the board, of having Board positions designated as large or small, or public or private, and whether the membership should have some input on who would be president.

There was fairly strong consensus on two points. One, that the membership at large should vote on the candidate for president, but that person still should come from the board--the slate be put up and that the membership would vote on it. Secondly, we agreed that the members should have more voice on who would be on the Board, either by nominations from the floor or much more open suggestions as to who should run for the Board.

Group 6: **Donald Hunt**, University of Tennessee:

We spent a lot of our time on the membership meetings and the importance of the program. The question came up whether should we have two meetings a year. Should one of the meetings be developed around suggested topics, such as the round tables we had a couple of years ago? Should we poll the membership for issues of concern? This could take care of the diversity issue, if members were able to meet on the issues by peer group: like size, like problems, etc. We believe diversity is a fact of life that ARL should recognized and address.

We spent some time on committee organization: do we have too many committees? Can we afford as many committees as we have? Should we bring in other staff from member libraries, though it was felt bringing in other staff members would dilute directors' participation.

Comments were made that our organization is too structured. Several years ago a plan was adopted. Some considered it too structured. The question was asked, is the ARL plan dead? If it isn't, should we kill it or should we revive it?

Group 7: **Philip Leinbach**, Tulane University:

Our group focused in quickly on consensus building and decision making as the most important concern. We dealt very little with meetings and committees.

We agreed that what ARL really ought to do right now is re-examine its mission and try to come up with one comprehensive statement, and then change the structure to carry out that mission. There was a lot of feeling that the old boy network really is dead and we need to have more open elections. There was some concern about how the Board is chosen and how the Vice-President/President-elect is selected. There was clearly a consensus in our group that we need open elections.

Although we had some difference of opinion on this, there were strong feelings expressed about involving more of our staffs in ARL, particularly through the committee structure, rather than keep ARL an organization made up of directors.

We agreed that ARL needs more clout. We never are in the media, and people do not hear enough about ARL. We ought to establish how we differ from the other organizations and get that word out.

We, too expressed the idea that the serials meeting we had today was a very good one. It is a day-to-day issue that we probably can all agree on. We ought to have more discussions of that sort.

We also discussed whether ARL, OMS particularly, could focus on helping us deal with our external groups, our administrators and faculty, and our universities. OMS has been focused on helping libraries govern themselves better. Perhaps now it could help us learn how to deal with our external constituents.

Group 8: **Susan Martin**, Johns Hopkins University:

Our group identified consensus building as the top priority and diversity as the second, and mentioned many of the same issues as previous groups. Some of the differences, in terms of details, were in terms of identifying what kinds of issues ARL ought to discuss, e.g., establish an agenda group or an agenda committee that would focus on issue selection and identification.

While we were asked to rank those five points, we noted that, in fact they are very, very closely related and can be described in an integrated package. First of all, you must define a mission statement. Then you need information and knowledge. After that come committees to investigate the particular issues and meetings to discuss after the committees have pursued their discussions. Input from the membership, voting on issues, and specific action that follows.

There was also some discussion of diversity. We agreed that it exists; it is a reality, and we should make it work for rather than against ARL.

Group 9: **Donald Riggs**, Arizona State University:

Our group was wild and wooly, and I thank each member who participated. Our three items, in priority were order, governance, diversity, and decision making. Under governance, we spent a lot of time talking about the elections and who is elected to the Board. Someone stated that it is a badge of honor not to be on the Board, someone else said it makes about as much sense to elect the board members by choosing names out of a hat. One of my concerns is, since I have been a member, I have seen some directors who have served 25 to 30 years as an ARL

director not given the courtesy to serve on the Board, while some of the new Board members may have only been in the organization for one or two years.

Under diversity, we believe there is a lack of concern for Canadian libraries, and that the nonuniversity libraries are treated as an afterthought. On the other hand, we also stated that diversity is also perhaps our chief attribute, the more diversity the better.

Under decision making, the Board has the right to make decisions and to take action--that was the opinion of our group, if it does such with reasonable consensus. ARL needs to be much stronger in the library community and be more dynamic and decisive. Thank you.

Group 10: **George Shipman**, University of Oregon:

It is difficult to be original, as the ninth or tenth person speaking on the same subject, but let me tell you that our priorities were in this order: operating membership, governance, pursuit of goals, and diversity. It really is difficult for me to come up with anything to report to you that has not been reported already, so I will not try to do that. Let me just tell you that the time necessary under operating membership, the commitment necessary to be effective representatives at this meeting, was an important issue for the group.

Under governance, I think most of us candidly asked the question is it necessary for us to achieve consensus within the Association? There may be room for a number of divergent opinions. That, again, comes up later on.

Under pursuit of goals, it was generally remarked that the ARL staff support has been quite good and quite strong. It was observed, in particularly in light of Anne's remarks, that there needs to be perhaps a better orientation with better timing for new directors as well as maybe some sort of ongoing orientation for some of us who have been around a little longer.

And diversity, the membership might do well to identify the issues and charge the Board with identifying expertise among ARL staff or staff of ARL libraries to carry out an action to creating a position statement on behalf of the Association. But before such statement is released, that the full membership or the Board put its imprimatur on it.

The last thing was that someone responded to one of the issues that was raised that we might do well to invite directors who served in the ARL 20 or 30 years ago, when it was an organization of 60 to 70 member libraries to come back for a program statement for the current membership—we might profit from it.

Group 11: **Barbara von Wahlde**, State University of New York at Buffalo):

The topics that we covered were identified and well covered by many other groups as well. Therefore, I will just sum up what we focused on.

First, we had members in the group who were relatively new to ARL, two or three years in the organization, and we had some who were here as surrogates. We also had some of the "old timers" that were identified today, as well. To tell you the truth, we were all sort of mystified about what the mission of ARL is. No one could characterize that for us and define it. Consequently, we thought identifying a mission for ARL and its role was a very high priority. We also felt that the issues were sort of inter-linked and overlapping, and it was difficult to separate out one without flowing into another area. We also created a sixth issue, which had to do with leadership. We believed that ARL leadership and the role of the executive director are extraordinarily important to the organization and we did not see that fitting into the letters that

had been identified already.

To sum up, the role and the mission need to be defined. It was also clear to us that we were—and this was a very good phrase mentioned by one of our colleagues that I would like to use—"re-envisioning research libraries." It may be one of ARL's roles, just as it may be to re-envision itself, to help us in re-envisioning the research library and promulgating that vision.

We felt that the leadership issue was a primary importance over the next several years. We like the idea of special interest and discussion groups. We also thought that ARL should be able to bring up issues quickly within the membership, though it is difficult, given governance structure committees building consensus.

We were all taken with the idea of the serials forum. We felt it was a time that had come, if not an issue that was already overdue. So how do you get into something in a very topical, fast, fashion? How can ARL turn on a dime?

General discussion

Audience Speaker: I would just say that our group disagreed, or at least the opinion was expressed very strongly concerning using non-director staff from member libraries on ARL committees. If, in the group of 118 directors of research libraries, we could not find the expertise that we needed to serve on our committees, there is something seriously lacking.

BUSINESS MEETING, SESSION II

[President Herbert F. Johnson (Emory University) convened the Business Meeting at 3:45 p.m. on Thursday, October 22, 1987, in the Mumford Room at the Library of Congress.]

PRESIDENT'S REPORT

Mr. Johnson reported on actions taken by the Board at its meeting earlier in the week, and other relevant topics.

1. The Board has initiated a new planing process (see p. 87 for additional discussion). ARL has received a grant of $10,000 from the Council on Library Resources for this effort, and the Board authorized use of the Board Project Fund to cover expenses, should they exceed the amount of the grant.

2. The Board has participated in efforts with ACRL, which has a committee to revise the *Standards for University Libraries*, developed jointly by ARL and ACRL and issued in 1979. Kent Hendrickson, Dean of Libraries at the University of Nebraska, is the chair of the committee and is serving as ARL's liaison to that effort. The Board will review the next draft at its meeting in February. ACRL plans to hold a general hearing on the standards at the ALA Annual Conference in New Orleans next year.

3. The Task Force on Government Information in Electronic Format will complete the final version of its report shortly and the report will be distributed to the membership in November. The task force is interested in receiving comments on the report by the end of 1987. They also encourage wide distribution and discussion of the report throughout the campus community. The task force will co-sponsor—along with the American Library Association, the Special Libraries Association, and others—a forum at the ALA Midwinter Meeting in San Antonio next January to consider the document and the draft principles it contains. It is expected that the ARL membership will take action on the principles at the May 1988 ARL Membership Meeting.

4. EDUCOM has developed a statement on copyright of software. ARL is working with a special EDUCOM committee to attempt to broaden the consideration of some of these issues.

PROPOSED AMENDMENTS TO THE ARL BYLAWS

Proposed amendments to the ARL Bylaws had been sent to the membership for consideration at this meeting. The changes cover primarily the articles on membership requirements and procedures, the Executive Committee, and the officers. A question was raised as to whether the Executive Committee should function as both a finance committee and an audit committee for the Association. Mr. Johnson noted that that distinction had not be considered in detail and that, as the current planning process may necessitate changes to structure or governance, additional bylaws revisions may be needed in the next year; this point could be considered more carefully at that time. After further discussion, the bylaws were adopted as proposed. [The *ARL Bylaws* are included in Appendix A.]

CONSIDERATION OF DUES FOR 1988

Mr. Johnson reviewed the material sent to the membership presenting the budget for 1988 and the discussions the Board had had on the topic during the course of their meeting. The Executive Committee had recommended a dues increase of 12% for 1988; after its discussion, the Board voted to recommend an increase of 7% to the membership, with the instructions that the budget be revised for 1988 to be in balance with a 7% dues increase. This would require a cut of approximately $40,000 from the proposed 1988 budget.

After some discussion, Jay Lucker (Massachusetts INstitute of Technology) moved that the membership adopt a substitute motion approving a 12% dues increase for 1988. Stuart Forth (Pennsylvania State University) seconded the motion. The was considerable discussion of a 12% vs. a 7% dues increase. Mr. Lucker noted that the demise of the Center for Chinese Research Materials over the last year has lead to a decrease in revenues and help caused the current financial deficit, and that cutting $40,000 from the proposed budget would be difficult to do without cutting current level of activities. He commented also that, in terms of the budgets of ARL member libraries, the amount involved ($6,440 per institution at 12% vs. $6,140 per institution at 7%) was not significant. ARL is not a subscription, he stated, but "a commitment to research libraries." Several other directors spoke in favor of the 12% figure, noting also the need to provide a sufficient level of support for the new Executive Director and for the role the membership wants ARL to play, according to discussions in conjunction with the Task Force on Membership Responsiveness session held the previous day. In support of the 7% figure, David Bishop (University of Illinois), a current Board member, gave two reasons why he had voted to reduce the recommendation to 7%: (1) the accepted guidelines of 4-7% for dues increases during the ARL Five-Year Plan, and (2) the need for program priorities to be more clearly stated. Several other directors agreed, emphasizing the need for priorities. A vote was taken on the substitute motion and it failed.

There was further discussion of the dues increase. A vote was then taken on the 7% increase but it failed to win a sufficient majority for passage. Due to the lateness of the hour, Mr. Johnson announced that the Board would consider the topic at its meeting later in the evening, and that a mail ballot on dues for 1988 would be sent to the membership as soon as possible.

REPORT FROM THE NOMINATING COMMITTEE

Elaine F. Sloan (Indiana University), Vice President/President-elect and chair of the

Nominating Committee, announced that the following directors has agreed to stand for election to the Board of Directors: D. Kaye Gapen (University of Wisconsin), Carlton Rochell (New York University), and Marilyn Sharrow (University of California, Davis). The election will be conducted by mail.

The remaining members of the Nominating Committee are Susan Cote (Case Western Reserve University) and Charles Miller (Florida State University).

ARL PLANNING INITIATIVE

Elaine Sloan summarized briefly the work to date on a new initiative to plan for ARL's future. The period covered by the ARL Five-Year Plan, which was adopted by the membership in 1983 and was implemented in 1984, is drawing to a close. To begin outlining the strategy for the next planning period, a retreat was held in September. A vision statement was developed, based on discussions at the retreat as well as other input, which was distributed to the membership at the meeting. She noted that the Board will discuss the vision statement in full at its February meeting. Ms. Sloan also commented that in addition to reviewing the mission statement and objectives in the Five-Year Plan, she envisions the new planning initiative as an opportunity to review thoroughly the structure and governance of the organization; the operations of the Board, the Executive and standing committees, and the secretariat; communication patterns; meeting styles; and relations with other organizations. The planning initiative will be a major focus of the ARL Membership Meeting in May 1988.

EXECUTIVE DIRECTOR'S REPORT

Due to the lateness of the hour, Shirley Echelman deferred to her written report, which had been distributed to the membership [see Appendix B].

Mr. Johnson, acknowledging that this was Ms. Echelman's last meeting as Executive Director, thanked her for her service and contributions to the Association during her tenure. He also commended Ms. Echelman, Duane Webster—who will become the Interim Executive Director on November 1, 1988—and the rest of the staff for the smooth functioning of the executive office during the transition period.

OFFICE OF MANAGEMENT STUDIES REPORT

Mr. Webster also deferred to his written report [see Appendix C], and added that additional information on OMS programs and activities would be in the upcoming *ARL Newsletter*.

CHANGE OF OFFICERS

As the final item of business, Mr. Johnson turned the gavel over to Elaine Sloan, the incoming President of ARL. Ms. Sloan thanked Mr. Johnson, and noted his accomplishments in guiding ARL through an exciting, difficult, and challenging year.

[The meeting was adjourned at 4:50 p.m.]

APPENDICES

Association of Research Libraries
1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 (202) 232-2466

BYLAWS OF THE ASSOCIATION OF RESEARCH LIBRARIES
(As Amended October 1987)

ARTICLE I - Offices

The principal office of the Association shall be located in the office of the Executive Director. The Association may have such other offices as the Board of Directors may determine, or as the affairs of the Association may require from time to time.

ARTICLE II - Membership

Section 1 - Member Institutions:

Membership in the Association shall be on an institutional basis by invitation. Invitations to libraries shall be issued upon recommendation of the Board of Directors and approval of the membership.

Membership shall be open to major university libraries whose collections and services are broadly based and to certain other libraries whose collections are recognized as having national significance. Libraries must meet the criteria for membership as established under Article II, Section 2 of these Bylaws.

Major university libraries are considered to be those whose parent institutions broadly emphasize research and graduate instruction at the doctoral level and grant their own degrees, which support large, comprehensive research collections on a permanent basis, and which give evidence of an institutional capacity for and commitment to the advancement and transmittal of knowledge.

Section 2 - Qualifications for Membership:

Qualifications for membership shall be established by vote of the members and reviewed from time to time. The qualifications and procedures for consideration of new members in effect at any given time shall be available on request from the office of the Assocation.

Section 3 - Termination of Membership:

Regulations for the termination of membership are established by vote of the members and are reviewed from time to time. The regulations in effect at any given time are available on request from the office of the Association.

Section 4 - Transfer of Membership:

Membership in the Association is not transferable or assignable.

Section 5 - Committee on ARL Membership:

There shall be an ad hoc Committee on ARL Membership, which shall be convened when matters arise requiring its attention. The Committee on ARL Membership appointed by the Executive Committee, shall comprise not less than three members, and shall be chaired by the Immediate Past President or appointee by the Board if the Immediate Past President is unable to serve. When a nonuniversity library is to be considered for membership, at least one member of the Committee on ARL Membership shall be a representative from a nonuniversity member library.

ARTICLE III - Board of Directors

Section 1 - Board of Directors:

There shall be a Board of Directors which shall manage the affairs of the Association. The number of Directors shall be not less than nine nor more than twelve. The President, Vice-President, and Immediate Past President of the Association shall be members of the Board. Directors shall be elected for terms of three years, three to be elected annually as provided in Article IV. Each Director shall be chosen from among the chief librarians representing member institutions of the Association. Each Director shall take office at the close of the Annual Meeting at which the Director is elected and shall serve until the end of the Annual Meeting held at the close of the individual's term of office. Notwithstanding any other provision contained in these Bylaws, an officer of the Association who is serving as a member of the Board of Directors may continue to serve as a member of the Board until the expiration of the officer's term despite the fact that the individual's normal, three-year term as Director may have expired. Any vacancy arising in the Board of Directors shall be filled by the Board of Directors, the appointee to serve until the next Annual Meeting, when a successor for the unexpired term shall be nominated and elected by the members of the Association.

Section 2 - Quorum and Action:

A majority of the members of the Board of Directors shall constitute a quorum. Action by the Board of Directors shall be by majority vote of the Directors present except that, as provided in Article V, section 4 of these Bylaws, election of the Vice-President shall be by the vote of an absolute majority of the total membership of the Board.

Section 3 - Notice of Meetings:

A regular meeting of the Board of Directors shall be held without other notice than this Bylaw, after the Annual Meeting of the Association, either on the same day thereof, or on the next succeeding day thereafter, at the time and place announced by the President at the Annual Meeting. The Board of

Directors may provide by resolution the time and place for the holding of additional regular meetings of the Board of Directors without other notice than such resolution. Special meetings of the Board of Directors may be called by or at the request of the President or any two Directors. Notice of any special meeting of the Board of Directors shall be given at least ten days previously thereto by written notice delivered personally or sent by mail, or telegram, or electronic mail to each Director's address as shown in the records of the Association. If mailed, such notice shall be deemed to be delivered when deposited in the United States mail in a sealed envelope so addressed, with postage thereon prepaid. If notice be given by telegram, such notice shall be deemed to be delivered when the telegram is delivered to the telegraph company. If notice be given by electronic mail, such notice shall be deemed to be delivered when acknowledgement of the message sent is received. Notice of a meeting need not be given to any Director who signs a waiver of notice whether before or after the meeting, or who attends the meeting without protesting, prior thereto or at its commencement, the lack of notice. The business to be transacted at, and the purpose of, any special meeting of the Board of Directors shall be specified in the notice or waiver of notice of such a meeting.

ARTICLE IV - Nomination and Elections of the Board of Directors

Section 1 - Nominating Committee:

There shall be a nominating committee of three persons, one to be the Vice-President who shall serve as chair of the Nominating Committee, and two persons to be appointed annually by the President of the Association.

Section 2 - Nomination:

It shall be the duty of the Nominating Committee to select annually as many nominees for the Board of Directors as there are vacancies on the Board to fill. No Director, having served a full three-year term, may be nominated to a successive term. The consent of the candidates to serve, if elected, must be obtained before nominations are accepted. The report of the Nominating Committee shall be distributed to the members at least thirty days before the election.

Additional nominations may be made from the floor.

Section 3 - Elections of the Board:

Each member may vote for not more than three nominees, except for the election of a successor for an unexpired term.

The three candidates receiving the highest number of votes shall become members of the Board for three-year terms.

ARTICLE V - Executive Committee

Section 1 - Executive Committee:

There shall be an Executive Committee of the Board of Directors which shall have and may exercise all the powers of the Board of Directors between meetings of the Board. The Executive Committee shall serve as a finance committee for the Board of Directors. The actions of the Executive Committee shall be subject to subsequent ratification by the Board of Directors. The President, Vice President, and Immediate Past President of the Association shall be the members of the Executive Committee.

Section 2 - Quorum and Action:

A majority of the members of the Executive Committee shall constitute a quorum. Action by the Executive Committee shall be by majority vote of the members of the Committee.

Section 3 - Notice of Meetings

The Executive Committee shall meet as necessary between meetings of the Board of Directors. The Executive Committee may provide by resolution the time and place for the holding of regular meetings of the Executive Committee without other notice than such resolution. Additional meetings may be called by or at the request of the President or the other two members of the Executive Committee. Notice of any meeting of the Executive Committee shall be given at least ten days previously thereto by written notice delivered personally or sent by mail, telegram, or electronic mail to each Executive Committee member's address as shown in the records of the Association. If mailed, such notice shall be deemed to be delivered when deposited in the United States mail in a sealed envelope so addressed, with postage thereon prepaid. If notice be given by telegram, such notice shall be deemed to be delivered when the telegram is delivered to the telegraph company. If notice be given by electronic mail, such notice shall be deemed to be delivered when acknowledgement of the message sent is received. Notice of the meeting need not be given to any Executive Committee member who signs a waiver of notice whether before or after the meeting, or who attends the meeting without protesting, prior thereto or at its commencement, the lack of notice.

ARTICLE VI - Officers

Section 1 - Officers:

The officers of the Association shall be a President, a Vice-President, an Immediate Past President, and an Executive Director. The officers, except the Executive Director, shall serve for terms of one year each.

Section 2 - President:

The President shall preside at meetings of the Association, the Board of Directors, and the Executive Committee. The President shall perform all duties incident to the office and such other duties as may be prescribed by the Board of Directors.

Section 3 - Vice-President:

The Vice-President shall automatically succeed to the Presidency at the end of the President's term as Vice-President. In the absence of the President or in the event of the President's inability or refusal to act, the Vice-President shall perform the duties of the President and, when so acting, shall have all the powers of and be subject to all the restrictions upon the President. The Vice-President shall serve as the chair of the Nominating Committee, and shall perform such other duties as from time to time may be assigned by the President or by the Board of Directors.

Section 4 - Immediate Past President:

The Immediate Past President shall serve as the chair of the Committee on ARL Membership and shall perform such other duties as from time to time may be assigned by the President or by the Board of Directors.

Section 5 - Election of Vice President:

The Vice-President shall be chosen from among members of the Board of Directors. Notwithstanding Article III, Section 2 of these Bylaws, the Vice-President shall be elected by the vote of an absolute majority of the total membership of the Board. In tne event that no one candidate for Vice-President receives an absolute majority in the first election, there shall be a run-off election between the two candidates receiving the highest number of votes, and that candidate receiving a majority in the run-off election shall be elected Vice-President. In the event the run-off election results in a tie, additional elections shall be conducted until one candidate receives a majority.

Section 6 - Vacancies:

If a vacancy occurs in the office of president prior to the end of the individual's term of office, the Vice-President shall automatically succeed to the Presidency. If a vacancy occurs in the office of Vice-President, the Board of Directors shall elect a successor from its membership to fill the unexpired term, who will then succeed to the Presidency. If a vacancy occurs in the office of Immediate Past President, the Board of Directors shall elect an Executive Committee Member-at-Large from within the Board's membership to fill the unexpired term. If a vacancy occurs in the office of Vice-President of Immediate Past President more than thirty days prior to the next regularly scheduled or special Board meeting, the Executive Committee shall nominate a successor for the unexpired term, who shall be elected by a majority of the Board, by mail, telegram, or electronic mail ballot, within tex days.

Section 7 - Executive Director:

There shall be an Executive Director of the Association, appointed by the Board of Directors, who shall serve at its pleasure. The Executive Director shall serve as Director of the Association but shall not be a member of the Board of Directors. The Executive Director shall also serve as Treasurer of the Association and shall be bonded.

Section 8 - Duties of the Executive Director:

The Executive Director shall be in charge of the principal office of the Association and its personnel; shall conduct the Association's administrative affairs; shall be responsible for the execution of all orders of the Board of Directors; shall prepare an annual budget and carry out the activities provided for in the budget as adopted by the Board of Directors; shall have charge and custody of and be responsible for all funds and securities of the Association; shall receive and give receipts for moneys due and payable to the Association from any source whatsoever and deposit all such moneys in the name of the Association in such depositories as shall be selected by the Board of Directors; shall see that all notices are duly given in accordance with these Bylaws or as required by law; shall keep a register of the post office address of each member which shall be furnished to the Executive Director by such member; shall keep all minutes, and issue minutes and reports as required by the Board of Directors; and shall perform such other duties as may be assigned by the Board of Directors.

ARTICLE VII - Meetings

Section 1 - Annual and Special Meetings:

There shall be an Annual Meeting of the Association at a time and place to be determined by the Board of Directors. The Association may meet at such other times and places as may be determined by the Board of Directors.

Section 2 - Notice of Meetings:

Written or printed notice stating the place, day and hour of any meeting of the Association shall be delivered, either personally or by mail, to each member entitled to vote at such meeting, not less than ten nor more than fifty days before the date of such meeting, except as otherwise required by law or by these Bylaws, by or at the direction of the Board of Directors, the President or the Executive Director. When a meeting is adjourned to another time or place, it shall not be necessary to give any notice of the adjourned meeting if the time and place to which the meeting is adjourned are announced at the meeting at which the adjournment is taken, and at the adjourned meeting any business which might have been transacted on the original date of the meeting may be transacted. In case of a special meeting or when required by law or by these Bylaws, the purpose or purposes for which the meeting is called shall be stated in the notice. If mailed, the notice of a meeting shall be deemed delivered when deposited in the United States mail addressed to the member at its address as it appears on the register of members, with postage thereon prepaid.

Section 3 - Quorum and Action:

A majority of the total membership shall constitute a quorum for the transaction of business, and an affirmative vote of a majority of the members voting, but not less than one-third of the total membership, shall be sufficient except as otherwise required by law or by these Bylaws.

Section 4 - Voting:

Each member shall be entitled to one vote on each matter submitted to a vote of the members. A member shall be represented in proxy by its chief librarian, or, in the director's absence, by its associate or one of its assistant librarians. Voting may be by proxy or by mail or by a combination thereof.

Section 5 - Parliamentary Procedures:

The conduct of meetings shall follow Robert's Rules of Order.

ARTICLE VIII - Committees

In addition to the Nominating Committee, such other standing and ad hoc committees as may be needed to carry out the business of the Association may be appointed by the Board of Directors.

ARTICLE IX - Dues

Section 1 - Fixing of Dues:

Membership dues shall be proposed by the Board of Directors and shall require approval by an affirmative vote of a majority of the total membership of the Association after due notice.

Section 2 - Forfeiture of Membership for Failure to Pay Dues:

A member failing to pay dues for two successive years shall automatically forfeit membership in the Association.

ARTICLE X - Contracts, Checks, Deposits and Funds

Section 1 - Contracts:

The Board of Directors may authorize any officer or officers, agent or agents of the Association, in addition to the officers so authorized by these Bylaws, to enter into any contract or execute and deliver any instrument in the name of and on behalf of the Association, and such authority may be general or confined to specific instances.

Section 2 - Checks, Drafts, etc.:

All checks, drafts or orders for the payment of money, notes or other evidences of indebtedness issued in the name of the Association, shall be signed by such officer or officers, agent or agents of the Association and in such manner as shall from time to time be determined by resolution of the Board of Directors. In the absence of such determination by the Board of Directors, such instruments shall be signed by the Executive Director and counter-signed by the President or Vice-President.

Section 3 - Deposits:

All funds of the Association shall be deposited from time to time to the credit of the Association in such depositories as the Board of Directors may select.

Section 4 - Gifts:

The Board of Directors may accept on behalf of the Association any grant, contribution, gift, bequest or device for the general purposes or for any special purpose of the Association.

ARTICLE XI - Books and Records

The Association shall keep correct and complete books and records of account and shall also keep minutes of the proceedings of its members, Board of Directors and committees having any of the authority of the Board of Directors, and shall keep at the principal office a register giving the names and addresses of the members entitled to vote. All books and records of the Association may be inspected by any members, or agents of members or attorney for any proper purpose at any reasonable time.

ARTICLE XII - Fiscal Year

The fiscal year of the Association shall be the calendar year.

ARTICLE XIII - Waiver of Notice

Notice of meeting need not be given to any member who signs a waiver of notice, whether before or after the meeting. The attendance of or voting by any member at a meeting, without protesting, prior thereto or at its commencement, the lack of notice of such meeting, shall constitute a waiver of notice by such member.

ARTICLE XIV - Amendments

Amendment of these Bylaws requires an affirmative vote of a majority of the total membership of the Association, at any meeting of the Association, provided that notice of such meeting and the proposed amendment has been given in writing at least thirty days in advance of the meeting by the Executive Director with the approval of the Board of Directors.

ARTICLE XV - Dissolution

Upon dissolution of the Association, the assets of the Association shall be applied and distributed as follows:

a. All liabilities and obligations of the Association shall be paid, satisfied, and discharged, or adequate provision shall be made therefor;

b. Assets held by the Association upon condition requiring return, transfer, or conveyance, which condition occurs by reason of the dissolution, shall be returned, transferred, or conveyed in accordance with such requirements;

c. Assets received and held by the Association subject to limitations permitting their use only for literary, educational, scientific, or similar purposes, but not held upon a condition requiring return, transfer, or conveyance by reason of the dissolution, shall be transferred or conveyed to one or more organizations exempt from income tax as organizations described in section 501(c)(3) of the Internal Revenue Code having as and pursuing purposes substantially similar to those of the Association, pursuant to a duly adopted plan of distribution;

d. Any remaining assets shall be distributed to one or more organizations exempt from income tax as organizations described in section 501(c)(3) of the Internal Revenue Code for any one or more literary, educational, or scientific purpose or purposes, or to the federal government, or to a state or local government, for a public purpose, pursuant to a duly adopted plan of distribution, or by a court to one or more such organizations to be used in such manner as in the judgment of the court will best accomplish the purposes for which the Association was organized.

Adopted January 28-29, 1962
Amended June 22, 1968
January 17, 1971
May 12-13, 1972
May 6, 1977
May, 1982
October, 1985
October, 1987

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APPENDIX B

Association of Research Libraries
1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 (202) 232-2466

EXECUTIVE DIRECTOR'S REPORT

October 1987

Since my last report to the Membership, ARL has been undergoing a metamorphosis; a significant turnover is underway in the Association's office staff; and the five-year plan adopted in 1983 is drawing near to its end and a new planning process has begun. These events are not necessarily related, although it may seem so to some observers, but together they have contributed an element of turmoil to our normally calm but busy summer months.

Staff Changes

Alex Lichtenstein, the Executive Office Administrative Assistant since May of 1983, left at the end of June to open his own business in St. Croix. Alex was our jack-of-all-trades: detail person for meeting arrangements, compiler of the ARL Statistics, word-processing system manager, receptionist and troubleshooter, staff travel agent, and chief contact with his counterparts in each of your offices. Alex is much missed, as greatly for his friendly and helpful attitude as for his versatility. Luckily, however, Margaret McConnell, has taken over as Administrative Assistant. Margaret is an experienced member of ARL's staff. Since she has assisted at both Board and membership meetings and in the statistics program, she is already known to many of you. We are confident that she will carry on in the tradition of personal attention to members needs and details that has become the expected norm for this position.

In September, Jeffrey Heynen accepted a position at the Library of Congress as Chief of the Special Materials Cataloging Division. Jeffrey began work for ARL in August of 1981 as a Consultant and Project Coordinator for the ARL Microform Project. Three years later, he joined the staff full-time as a Program Officer, with responsibility for bibliographic control and preservation. Jeffrey quickly became our resident expert in these areas; his extraordinary technical knowledge is augmented by patience, negotiating skill, and a finely-honed ability to clarify technical complexities and make them comprehensible to the lay person. The confidence and technical knowledge that he brought to ARL's dealings with funding agencies and with librarians has been of incalculable advantage to the Association. Jeffrey's responsibilities will be assumed by Jutta Reed-Scott for the immediate future. Jutta's considerable experience in bibliographic control and preservation will enable the Association to maintain its current activity level in these areas.

Nicola Daval, our Program Officer for statistics, meetings, and public information, began to work a shortened schedule in July in order to have time also to pursue a blossoming career in the theater. Nicky will retain responsibility for the Association's statistics programs, and for the ARL Newsletter. Her meeting responsibilities will be undertaken by other staff members.

In March, Charles Kasten joined the staff as Accountant and in September, Patricia Kent joined the staff to fill Margaret's former position on the support staff.

As you already know, I will be leaving ARL at the end of October. Duane Webster and I have worked very closely together since June to make sure that this transition will not disrupt the Association's agenda. Duane will serve as Interim Executive Director, and Jeffrey Gardner will undertake Duane's duties as Acting Director of OMS during the transition period.

As the Executive Office staff normally numbers eight, it is easy to imagine how difficult it has been to assimilate so many staff changes and still maintain momentum and productivity. That the staff has been able to accommodate and continue to meet schedules and remain productive is a tribute to their commitment to the membership and to the goals of the organization.

Planning for ARL's Future

Early this year, the Board established a Task Force on Association Responsiveness to Membership Needs, chaired by Kenneth Peterson, to explore means to improve ARL's ability to respond to the needs of members, foster interactive communications, and enhance our policy-making capabilities. In anticipation of the end of the Five-Year Plan of Action (1988), Elaine Sloan, ARL's President-Elect convened a small group of directors in Indianapolis in September to review where the Association is at present and to envision where it may wish to go in the next few years.

These parallel efforts are well underway and some of the Task Force's early recommendations have been adopted for the October 1987 meeting. Duane is staff liaison for both groups. Elaine will continue to be centrally involved with the planning process. The Board will review the results of the September effort and will discuss ARL's future with Committee and Task Force chairs on October 20. A number of members responded to Elaine's call for comments early this summer, and the Membership will hear a brief report at the Business Meeting and will have opportunity to participate in discussions on the topic in October and again next May.

Programs, Projects, and Other Acitivites

Despite the inevitable disruptions caused by the staffing situation, Association activities have been maintained without noticeable diminution during the past six months. The ARL Recon Project has been wrapped up insofar as staff support is concerned, and a proposal to operate the Recon Clearinghouse arising from the Membership action taken at the May Meeting has been drawn up for Board consideration at its October Meeting. Contract negotiations with The Computer Company (TCC) to convert the records in the National Register of Microform Masters (NRMM) have been completed, and L.C. has shipped the first batches of records to TCC for conversion. The Committee on ARL Statistics met in September and the Committee on Preservation of Research Library Materials completed plans for the October program.

The Task Force on Government Information in Electronic Format has continued to work on the policy issues it outlined to the Membership in May; a report will be distributed to ARL members at the October meeting. Members of the Task Force have also met with officials of the Joint Committee on Printing (JCP), the Government Printing Office, Senate and House staff members, the Information Industry Association (IIA) and others. In addition, the Task Force will sponsor a meeting at ALA Midwinter 1988 to expand the discussion of policy issues involved in providing government information in electronic format to the depository libraries and other related issues.

The Salary Survey and Statistics are right on schedule. Almost all the Salary Survey forms were received in the Office by early October and are being processed. If, in the next few weeks, it looks like the publication can be out by Thanksgiving, we will not prepare preliminary tables this year. Otherwise, preliminary tables will be distributed in early Novermber, and the publication in December or early January. At this time, the rate of return for the Statistics questionnaires is good, and we anticipate publishing the 1986-87 Statistics in January. Finally, we will be distributing by the end of October a report on the Supplementary Statistics data collected for 1985-86.

We acquired desktop publishing capability early in the year. This has allowed ARL to produce camera-ready copy in-house for the ARL Statistics as well as the Newsletter, and other materials such as badges for the October Meeting.

We have continued to serve as a clearinghouse for information on foreign serials prices. The Committee on Collection Development will hold an informal forum on recent developments in this area during the October Meeting. Announcements of this forum were mailed to the Membership on October 5.

Finances

The Association's financial picture continues to be less than satisfactory. Last year's operating deficit will be repeated in 1987, and is likely to continue until a decision is made either to make up for the loss of the contribution to overhead formerly made by the Center for Chinese Research Materials (CCRM), or to curtail or end one or more current major area of activity. At present, approximately 5% of expenses are being covered by the reserve fund; and while this may work for the short-term, it is unwise to continue to dip into reserves year after year.

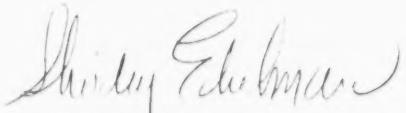
External Relations

We continue to maintain good relations with other education-related organizations, including the American Council of Learned Societies, the National Humanities Alliance, the Society for Scholarly Publishing, and the Association of American Universities. Recently, contact was established with EDUCOM to bring concerns that some of our members had expressed over that organization's interpretation of the provisions of the US Copyright Law as they apply to software. This contact will be continued at the upcoming EDUCOM meeting in Los Angeles. Discussions with IIA and other organizations interested in information policy issues have become a part of the regular agenda of the Association's Program Officer for Federal Relations, Jaia Barrett; working in consultation with the TFGIEF, the Committee on Government Policies, and the Executive Committee.

In addition, frequent communication with ARL members, by the Newsletter, membership-wide mailings, and targeted e-mail or telephone contacts have been used to provide information on relevant events to members and in eliciting effective responses and action. ARL continues to grow stronger as a vital force in the national education policy arena.

Conclusion

This is my thirteenth and last report to the Membership of ARL. It has been a rich and exciting experience to work with all of you on behalf of research libraries and the scholarly enterprise. One of the measures of success in an endeavor like ours is the ability to convince others that our cause is sufficiently important for them to buy into it -- since 1981, ARL has attracted nearly $2 million in grant funds to assist us to carry on the Association's work. These projects have improved access to information in the great libraries of North America and strengthened the management of these libraries. More remains to be done than has been done, of course. The Association has the capacity for significant accomplishment in the future, thanks to the work we have all done together in the past. My best wishes go with you as you prepare to meet that future.



Shirley Echelman
Executive Director
October 9, 1987

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APPENDIX C

OMS OFFICE OF MANAGEMENT STUDIES
ASSOCIATION OF RESEARCH LIBRARIES 1527 New Hampshire Ave., N.W., Washington, D.C. 20036 · (202) 232-8656

Duane E. Webster, Director / OMS
Jeffrey J. Gardner, Associate
Susan R. Jurow, Program Officer for Training
Maxine K. Sitts, Information Services Specialist

October 10, 1987

To: ARL Board of Directors

From: Office of Management Studies (OMS) Duane Webster

Re: Status of OMS Programs
April 1987 - October 1987

This report is organized around OMS activities in three areas: (1) operation of separately funded projects, (2) core programs supported with ARL dues and revenue from sale of services and publications and (3) Office assistance provided to ARL committees.

1. SEPARATELY FUNDED PROJECTS

A. **National and Regional Cooperative Collection Development Program:** In June 1984 the Andrew W. Mellon Foundation funded a three year project to continue the work of Phases I and II of the North American Collections Inventory Project (NCIP). The $220,000 grant supports the development of training resources, a materials distribution center, and the support system needed to coordinate the participation of ARL libraries in NCIP.

During the past 6 months training has been provided to several ARL libraries and groups of libraries by project staff and NCIP trainers drawn from the group of collection development staff trained for that role by the OMS. Interest in the Conspectus methodology among European libraries led to two workshops for the French Ministry of Education during this period. In addition: two issues of NCIP News were published and distributed; an NCIP Users' Group meeting was held during ALA in San Francisco and included presentations on Conspectus implementation in the University of California libraries, the Harvard University Libraries, the University of Alberta Library and a group of libraries in Georgia.

Revised worksheets and supplemental guidelines for Art and Architecture were distributed during this period and work on additional revisions and resources continued under the direction of the RLG Subcommittee on the Conspectus. The Council on Library Resources made $3000 available to defray the costs incurred by libraries in this effort.

The National Library of Canada has developed a Canadian Conspectus Search Service which is now available online to Canadian librarians and a personal computer collection data system is currently being tested at Indiana University. A meeting of the NCIP Advisory Committee is scheduled for October to consider options for maintaining the project beyond the grant period. Current efforts with RLG staff include consideration of approaches to increasing the use of the Conspectus On-line and ensuring that more data from non-RLG ARL members gets entered into the data base.

training of 5 preservation specialists in consulting skills, and for the conduct of the Preservation Planning Program in another 10 ARL member libraries.

2. A proposal for **Managing Technology Transition in Research Libraries**: Upon the advice of the ARL Committee on Management of Research Libraries, OMS staff reworked the earlier developed proposal on designing a technical services program to address the need to manage technology transition more effectively. The proposal was submitted in June 1987 for funding under Title II-B of the Higher Education Act (a Research and Development Project). The one-year project outlined would develop resources and tools to assist academic libraries in improving technical services operations.

3. Participation in the **Tufts Data-Sharing Project**: A data-sharing test is being conducted with Tufts University. The project's goal is to identify the most useful trend indicators, peer comparisons, and other management ratios that can be derived from available information on library and institutional characteristics. The project has produced two reports solely for its 25 participants, the most recent including 1986-87 ARL & HEGIS data. The project director at Tufts is requesting CLR funding to further develop the database. OMS would serve as an advisor for the project.

4. **Financial Management Skills Institute**: Plans are underway to design a financial management skills institute to be held sometime in 1988. This institute will examine skills related to managerial accounting, fiscal control, budgeting, reallocation, cost analysis, and developing accountability.

5. A **Management Information Service**: OMS staff is examining the possibility of establishing a process for interested libraries to use in examining critical issues by gathering data on operations and applying that information in an analytical fashion to management decision-making. The service would provide assistance in targeting issues, designing data gathering methodologies, establishing normative benchmarks, analyzing information, and determining appropriate action.

6. A **Study of Professional Staff Turnover in Research Libraries**: As part of the ARL Committee on Management of Research Library Resources' concern with improving their understanding of the demographic characteristics of research library staff, a study of professional staff turnover was conducted with Jim Neal from Pennsylvania State University Library. A preliminary report on survey results was mailed to all directors, and a final report will be published this Fall by the OMS.

7. A **Management Literature Review and Reporting Service**: The ARL Committee on Management of Research Library Resources asked the OMS to investigate the feasibility of a management literature review and reporting service. Preliminary discussions of this idea were held at the ALA June Conference with selected business school librarians. A report to the Management Committee is planned at the October 1987 ARL membership meeting.

D. The Training and Staff Development Program

During this period the following training events were conducted:

- A public **Basic Management Skills Institute** was held May 19-22, in Washington, D.C. There were 28 participants.

- A public **Analytical Skills Institute** was held June 2-5, at Syracuse University. There were 23 participants

- A second **Management Institute for Assistant and Associate Directors in ARL Libraries** was held June 7-10, 1987 at the Asilomar Conference Center, Pacific Grove, California. There were 24 participants.

The **Management Institute for ARL Directors** was rescheduled from February 1987 to September 16 - 19, 1987. This Institute was subsequently cancelled due to insufficient pre-institute registration.

Managing the Learning Process Institute: A new training program was developed by the OMS training staff for operation this year. This program is intended to help prepare research library staff with training roles and responsibilities to better plan, design, conduct and evaluate library staff training efforts. The Institute was held on August 18th-20th in Baltimore, Maryland with 30 participants. The Johns Hopkins University Library hosted field training projects by participants.

The 1988 schedule of public Management Skills Institutes includes:

Basic Management Skills Institutes

May 17-20, 1988	Boston, MA
September 6-9, 1988	St. Louis, MO

Advanced Management Skills Institute

November 6-11, 1988	Charleston, SC

Analytical Skills Institutes

May 31 - June 3, 1988	Detroit, MI
November 29 - December 2, 1988	Austin, TX

Managing the Learning Process Institute

August 2-5, 1988	Notre Dame, IN

APPENDIX D

ATTENDANCE AT 111th MEMBERSHIP MEETING

Washington, D.C.
October 21-22, 1987

University of Alabama Libraries
Charles B. Osburn

University of Alberta Library
Peter Freeman

University of Arizona Library
Shelly Phipps

Arizona State University Library
Donald Riggs

Boston Public Library
Arthur Curley

Boston University Library
John Laucus

Brigham Young University Library
Sterling J. Albrecht

University of British Columbia Library
Douglas N. McInnes

Brown University Library
Merrily Taylor

University of California, Berkeley Library
Joseph Rosenthal

University of California, Davis Library
Marilyn Sharrow

University of California, Irvine Library
Calvin J. Boyer

University of California, Los Angeles Library
Russell Shank

University of California, Riverside Library
James Thompson

University of California, San Diego Library
Dorothy Gregor

University of California, Santa Barbara Library
Joseph A. Boissé

Canada Inst. for Scientific & Technical Info.
Elmer V. Smith

Case Western Reserve University Libraries
James E. Bobick

Center for Research Libraries
Donald B. Simpson

University of Chicago Library
Martin D. Runkle

University of Cincinnati Libraries
Linda B. Cain

University of Colorado Library
Clyde Walton

Colorado State University Library
Joan Chambers

Columbia University Libraries
Paula T. Kaufmann

University of Connecticut Library
David L. Kapp

Cornell University Libraries
Catherine Murray-Rust

Dartmouth College Libraries
Margaret A. Otto

University of Delaware Library
Susan Brynteson

Duke University Libraries
Jerry D. Campbell

Emory University Library
Herbert F. Johnson

University of Florida Libraries
Dale Canelas

Florida State University Library
Charles E. Miller

Georgetown University Library
James DeLancey

University of Georgia Libraries
Arlene E. Luchsinger

Georgia Institute of Technology Library
Miriam Drake

University of Guelph Library
John Black

Harvard University Library
Dale Flecker

University of Hawaii Library
John R. Haak

University of Houston Libraries
Robin Downes

Howard University Libraries
Dorothy M. Haith

University of Illinois Library
David F. Bishop

Indiana University Libraries
Elaine F. Sloan

University of Iowa Libraries
Sheila Creth

Iowa State University Library
John Galip

Johns Hopkins University Library
Susan K. Martin

University of Kansas Library
Clinton Howard

University of Kentucky Libraries
James D. Birchfield

Kent State University Libraries
Dean H. Keller

Laval University Library
Not Represented

Library of Congress
William Welsh

Linda Hall Library
Louis E. Martin

Louisiana State University Library
Sharon Hogan

McGill University Library
Eric Ormsby

McMaster University Library
Graham R. Hill

University of Manitoba Libraries
Earl Ferguson

University of Maryland Library
H. Joanne Harrar

University of Massachusetts Libraries
Richard J. Talbot

Massachusetts Inst. of Technology Libs.
Jay K. Lucker

University of Miami Library
Frank D. Rodgers

University of Michigan Library
Richard M. Dougherty

Michigan State University Library
Richard E. Chapin

University of Minnesota Libraries
John Howe

University of Missouri Library
Thomas W. Shaughnessy

National Agricultural Library
Joseph H. Howard

National Library of Canada
Marianne Scott

National Library of Medicine
Lois Ann Colaianni

University of Nebraska-Lincoln Libraries
Kent Hendrickson

Newberry Library
Not Represented

University of New Mexico Library
Robert L. Migneault

New York Public Library
Paul Fasana

New York State Library
Jerome Yavarkowsky

New York University Libraries
Not Represented

University of North Carolina Libraries
James F. Govan

North Carolina State University Library
I.T. Littleton

Northwestern University Libraries
John P. McGowan

University of Notre Dame Libraries
Robert C. Miller

Ohio State University Libraries
William J. Studer

University of Oklahoma Library
Sul H. Lee

Oklahoma State University Library
Edward R. Johnson

University of Oregon Library
George W. Shipman

University of Pennsylvania Libraries
Joan I. Gotwals

Pennsylvania State University Library
Stuart Forth

University of Pittsburgh Libraries
Anne Woodsworth

Princeton University Library
Donald Koepp

Purdue University Library
Joseph M. Dagnese

Queen's University Library
Not Represented

Rice University Library
Samuel Carrington

University of Rochester Libraries
James F. Wyatt

Rutgers University Library
Joanne R. Euster

University of Saskatchewan Library
Paul Wiens

Smithsonian Institution Libraries
Vija Karklins

University of South Carolina Library
Kenneth E. Toombs

University of Southern California Library
Philip Tompkins

Southern Illinois University Library
Kenneth G. Peterson

Stanford University Libraries
David C. Weber

State Univ. of New York at Albany Libraries
Joseph Z. Nitecki

State Univ. of New York at Buffalo Libraries
Barbara Von Wahlde

State Univ. of New York at Stony Brook Library
John B. Smith

Syracuse University Libraries
David H. Stam

Temple University Library
James Myers

University of Tennessee Libraries
Donald R. Hunt

University of Texas Libraries
Mary Brennan

Texas A & M University Library
Irene B. Hoadley

University of Toronto Libraries
Carole Moore

Tulane University Library
Philip E. Leinbach

University of Utah Libraries
Roger K. Hanson

Vanderbilt University Library
Malcolm Getz

Virginia Polytechnic Inst. & State Univ.
Paul Gherman

University of Virginia Libraries
Ray Frantz

University of Washington Library
Merle N. Boylan

Washington State University Library
Maureen Pastine

Washington University Libraries
Bernard D. Reams, Jr.

University of Waterloo Library
Not Represented

Wayne State University Libraries
Peter Spyers-Duran

University of Western Ontario Library
Robert Lee

University of Wisconsin Libraries
Louis A. Pitschman

Yale University Libraries
Millicent Abell

York University Libraries
Ellen Hoffmann

NAME INDEX

Abell, Millicent D.	Yale University Libraries
Albrecht, Sterling J.	Brigham Young University Library
Birchfield, James D.	University of Kentucky Libraries
Bishop, David	University of Illinois Library
Black, John	University of Guelph Library
Bobick, James E.	Case Western Reserve University Libraries
Boisse, Joseph A.	University of California, Santa Barbara Library
Boyer, Calvin J.	University of California, Irvine Library
Boylan, Merle N.	University of Washington Libraries
Brennan, Mary	University of Texas Libraries
Brynteson, Susan	University of Delaware Library
Cain, Linda	University of Cincinnati Libraries
Campbell, Jerry D.	Duke University Library
Canelas, Dale	University of Florida Libraries
Carrington, Samuel	Rice University Library
Chambers, Joan	Colorado State University Library
Chapin, Richard E.	Michigan State University Library
Collaianni, Lois Ann	National Library of Medicine
Creth, Sheila D.	University of Iowa Libraries
Curley, Arthur	Boston Public Library
Dagnese, Joseph M.	Purdue University Library
DeLancey, James	Georgetown University Lilbrary
Dougherty, Richard M.	University of Michigan Library
Downes, Robin N.	University of Houston Libraries
Euster, Joanne	Rutgers University Library
Fasana, Paul	New York Public Library
Flecker, Dale	Harvard University Library
Forth, Stuart	Pennsylvania State University Library
Frantz, Ray	University of Virginia Library
Freeman, Peter	University of Alberta Library
Galip, John	Iowa State University Library
Getz, Malcolm	Vanderbilt University Library
Gherman, Paul M.	Virginia Polytechnic Inst. and State University
Gotwals, Joan	University of Pennsylvania Libraries
Govan, James F.	University of North Carolina Libraries
Haak, John R.	University of Hawaii Library
Haith, Dorothy M.	Howard University Libraries
Hanson, Roger K.	University of Utah Libraries
Harrar, H. Joanne	University of Maryland Library
Hendrickson, Kent	University of Nebraska, Lincoln Libraries
Hill, Graham R.	McMaster University Library
Hoadley, Irene B.	Texas A & M University Library
Hoffmann, Ellen	York University Libraries
Hogan, Sharon A.	Louisiana State University Library

Howard, Clinton	University of Kansas Library
Howe, John	University of Minnesota Libraries
Hunt, Donald R.	University of Tennessee Libraries
Johnson, Edward R.	Oklahoma State University Libraries
Johnson, Herbert	Emory University Library
Kapp, David L.	University of Connecticut Library
Karklins, Vija	Smithsonian Institution Libraries
Kaufman, Paula	Columbia University Libraries
Koepp, Donald	Princeton University Library
Kuhn, Warren B.	Iowa State University Library
Laucus, John	Boston University Libraries
Lee, Robert	University of Western Ontario
Lee, Sul H.	University of Oklahoma Library
Leinbach, Philip E.	Tulane University Library
Luchsinger, Arlene E.	University of Georgia Libraries
Lucker, Jay K.	Massachusetts Inst. of Technology Libraries
Martin, Louis E.	Linda Hall Library
Martin, Susan K.	Johns Hopkins University Library
McGowan, John P.	Northwestern University Libraries
McInnes, Douglas	University of British Columbia Library
Migneault, Robert L.	University of New Mexico
Miller, Charles E.	Florida State University Library
Miller, Robert C.	University of Notre Dame Libraries
Moore, Carole	University of Toronto Libraries
Murrary-Rust, Catherine	Cornell University Libraries
Myers, James	Temple University Library
Nitecki, Joseph Z.	State University of New York at Albany Libraries
Nutter, Susan K.	North Carolina State University
Ormsby, Eric	McGill University Library
Osburn, Charles B.	University of Alabama Libraries
Otto, Margaret	Dartmouth College Libraries
Pastine, Maureen	Washington State University Library
Peterson, Kenneth G.	Southern Illinois University Library
Phipps, Shelley	University of Arizona Library
Pitschman, Louis A.	University of Wisconsin Libraries
Reams, Jr., Bernard D.	Washington University Libraries
Riggs, Donald	Arizona State University Library
Rodgers, Frank	University of Miami Library
Rosenthal, Joseph A.	University of California, Berkeley Library
Runkle, Martin D.	University of Chicago Library
Shank, Russell	University of California, Los Angeles Library
Sharrow, Marilyn J.	University of California, Davis Library
Shaughnessy, Thomas	University of Missouri Library
Shipman, George W.	University of Oregon Library
Simpson, Donald B.	Center for Research Libraries
Sloan, Elaine	Indiana University Libraries

Smith, Elmer V.	CISTI
Smith, John B.	State University of New York at Stony Brook Libraries
Spyers-Duran, Peter	Wayne State University Libraries
Stam, David H.	Syracuse University Libraries
Studer, William J.	Ohio State University Libraries
Talbot, Richard J.	University of Massachusetts Libraries
Taylor, Merrily E.	Brown University Library
Tompkins, Philip	University of Southern California Library
Toombs, Kenneth E.	University of South Carolina Libraries
von Wahlde, Barbara	State University of New York at Buffalo Libraries
Walton, Clyde C.	University of Colorado Library
Weber, David C.	Stanford University Libraries
Welsh, William	Library of Congress
Wiens, Paul	University of Saskatchewan
Woodsworth, Anne	University of Pittsburgh Libraries
Wyatt, James F.	University of Rochester Libraries

ARL STAFF

Echelman, Shirley	Executive Director
Webster, Duane E.	Deputy Executive Director and Director, Office of Management Studies
Barrett, Jaia	Program Officer
Daval, Nicola	Program Officer
Gardner, Jeffrey J.	Associate Director, Office of Management Studies
Jurow, Susan	Training Specialist, Office of Management Studies
Kasten, Charles D.	Accountant
Kent, Patricia	Secretary
McConnell, Margaret	Administrative Assistant
Reed-Scott, Jutta	Collections Development Specialist
Sitts, Maxine K.	Information Services Specialist, Office of Management Studies

GUESTS

Avram, Henriette, D.	Library of Congress
Battin, Patricia	Commission on Preservation and Access - speaker
Boomgaarden, Wesley L.	Ohio State University Libraries - speaker
Broderick, John	Library of Congress - speaker
Brown, Rowland C.W.	OCLC, Inc.
Child, Margaret S.	Smithsonian Institution Libraries
Chisholm, Margaret	American Library Association
Clark, Roger G.	Committee on Institutional Cooperation
Cline, Nancy M.	Pennsylvania State University Libraries
Cooke, Eileen	American Library Association
Crary, Alexander D.	U.S. Senate Subcommittee on Education, Arts, & Humanities
Ekman, Richard	National Endowment for the Humanities
Farr, George F.	National Endowment for the Humanities
Field, Jeffrey	National Endowment for the Humanities
Gillis, Christina M.	American Council of Learned Societies
Gwinn, Nancy E.	Smithsonian Institution Libraries
Hammer, John H.	National Humanities Alliance
Heanue, Anne	American Library Association
Henderson, Carol	American Library Association Washington Office
Heynen, Jeffrey	Library of Congress
Koda, Paul	University of Maryland Libraries
Loup, Jean	University of Michigan Libraries
Morrow, Carolyn C.	Library of Congress - speaker
Marcum, Deanna	Council on Library Resources
Mathews, Anne	U.S. Department of Education
Merrill-Oldham, Jan	University of Connecticut Library - speaker
Morris, James M.	Andrew W. Mellon Foundation - speaker
Ogden, Barclay	University of California, Berkeley Library - speaker
Parker, Jason	American Council of Learned Societies
Petherbridge, Guy	Columbia University School of Library Service
Sittig, William J.	Library of Congress
Smith, Merrily A.	Library of Congress - speaker
Starr, Mary Jane	National Library of Canada
Turner, Judith	Chronicle of Higher Education
Vaughn, John	Association of American Universities
Walker, R. Gay	Yale University Library - speaker
Winterble, Peter G.	Commission on Preservation and Access

APPENDIX E

OFFICERS, BOARD OF DIRECTORS, COMMITTEES AND TASK FORCES

OCTOBER 1987

ARL OFFICERS AND BOARD FOR 1987-88

Elaine F. Sloan, President
Charles E. Miller, Vice President & President-Elect
Herbert F. Johnson, Past-President
David F. Bishop (Oct. 1986-Oct. 1989)
Peter Freeman (Oct. 1986-Oct. 1989)
D. Kaye Gapen (Oct. 1987-Oct. 1990)
Carlton Rochell (Oct. 1987-Oct. 1990)
Martin D. Runkle (Oct. 1985-Oct. 1988)
Marilyn Sharrow (Oct. 1987-Oct. 1990)
Merrily Taylor (Oct. 1986-Oct. 1989)

STANDING COMMITTEES AND TASK FORCES

Committee on Government Policies

Susan Brynteson (1986-88)
James Myers (1987-89)
Joseph Rosenthal (1987-89)
Paul Gherman (1986-87)
James F. Wyatt (1986-89), Chair (1986-88)

Staff: Jaia Barrett

Committee on Nominations

Susan Coté (1987)
Charles Miller (1987)
Elaine F. Sloan, ARL Vice President, Chair (1987)

Committee on ARL Membership

Past President, Chair

Committee on the Management of Research Library Resources

Ellen Hoffmann (1985-87)
Philip E. Leinbach (1986-88)
Jay K. Lucker (1985-87)
Carlton C. Rochell (1986-88)
Maureen Pastine (1987-89)
Thomas W. Shaughnessy (ex officio as Chair of Committee on ARL Statistics)
Peter Spyers-Duran (1987-89)
Sul H. Lee (1987-89), Chair (1987-88))

Staff: Duane Webster

Committee on ARL Statistics

Dale Canelas (1987-89)
Richard M. Dougherty (1985-87)
Gordon Fretwell, University of Massachusetts (Consultant)
Robert Lee (1986-88)
Kendon Stubbs, University of Virginia (Consultant)
Don Tolliver (1986-88)
Thomas W. Shaughnessy (1986-88), Chair (1987-88)

Staff: Nicola Daval

Committee on Bibliographic Control

Sterling J. Albrecht (1986-88)
Henriette Avram, Library of Congress Liaison
Robin Downes (1985-87)
Dorothy Gregor (1987-89)
Sharon Hogan (1985-87)
Marianne Scott (1986-88)
David Bishop (1986-88), Chair (1987-88)

Staff: Jutta Reed-Scott

Committee on Collection Development

Millicent D. Abell (1986-88)
Joseph Boissé (1987-89)
Susan Coté (1986-88)
Kent Hendrickson (1987-89)
William Sittig, Library of Congress Liaison
Mary Jane Starr, National Library of Canada Liaison
Peter Freeman (1986-88), Chair (1987-88)

Staff: Jeffrey Gardner

Committee on Preservation of Research Library Materials

James F. Govan (1987-89)
Carole Moore (1987-89)
John P. McGowan (1987-89)
Peter Winterble, Council on Library Resources (observer)
Jan Merrill-Oldham (Consultant)
Kenneth G. Peterson (1985-87)
John B. Smith (1986-88)
Peter Sparks, Library of Congress Liaison
William J. Studer (1985-87)
David C. Weber, (1986-88), Chair (1987-88)

Staff: Jutta Reed-Scott

Search Committee

John Black
Charles Miller
Merrily Taylor
Anne Woodsworth, Chair

Program Committee for Fall 1988 Meeting - ARL Members

Millicent D. Abell
Martin D. Runkle
David C. Weber

Staff: Nicola Daval

Task Force on Association Responsiveness to Membership Needs (1988)

Richard M. Dougherty
Joanne R. Euster
Elmer V. Smith
Anne Woodsworth
Kenneth G. Peterson, Chair

Staff: Duane Webster

Task Force on Government Information in Electronic Format (1987)

Nancy Cline, Pennsylvania State University
Malcolm Getz
Jean Loup, University of Michigan
Barbara von Wahlde
D. Kaye Gapen, Chair

Staff: Jaia Barrett

ADVISORY COMMITTEES

North American Collections Inventory Project

David Farrell, Indiana University
Leslie Hume, Research Libraries Group
Paul Mosher, Stanford University
Susan Nutter, Massachusetts Institute of Technology
Elaine F. Sloan
David H. Stam

Staff: Jeffrey Gardner

REPRESENTATIVES

National Information Standards Organization (NISO)	Joanne Harrar
NISO Standards Voting Representative	Shirley Echelman
CONSER Advisory Group	Susan Brynteson
Eighteenth-Century Short Title Catalogue	Ray Frantz
LC Cataloging-in-Publication Advisory Group	George Gibbs, UCLA
LC Network Advisory Committee	William Studer
Society of American Archivists	Herbert Finch, Cornell
Universal Serials & Book Exchange	Joanne Harrar
National Institute of Conservators	David Stam
IFLA Voting Representative	Shirley Echelman
RLG Conspectus Development Task Force	David Farrell, Indiana
Advisory Committee, Commission On Preservation and Access	David Weber
Advisory Committee to the Library/Book Fellows program	Richard Dougherty

APPENDIX F

MEMBERSHIP OF THE ASSOCIATION

OCTOBER 1987

University of **Alabama** Libraries
P.O. Box S
Tuscaloosa, Alabama 35487-9784
Charles B. Osburn, Director
(205) 348-7561

University of **Alberta** Library
Edmonton, Alberta, Canada T6G 2J8
Peter Freeman, Librarian
(403) 432-3790

University of **Arizona** Library
Tucson, Arizona 85721
W. David Laird, Librarian
(602) 621-2101

Arizona State University Library
Tempe, Arizona 85281
Donald Riggs, Librarian
(602) 965-3417

Boston Public Library
Copley Square
Boston, Massachusetts 02117
Arthur Curley, Librarian
(617) 536-5400

Boston University Library
Boston, Massachusetts 02215
John Laucus, Director
(617) 353-3710

Brigham Young University Library
324 Lee Library
Provo, Utah 84602
Sterling J. Albrecht, Univ. Libn.
(801) 378-2905

University of **British Columbia** Library
Vancouver, B.C., Canada V6T 1W5
Douglas McInnes, Librarian
(604) 228-2298

Brown University Library
Providence, Rhode Island 02912
Merrily Taylor, Librarian
(401) 863-2162

University of **California** Library, **Berkeley**
Berkeley, California 94720
Joseph Rosenthal, Univ. Librarian
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University of **California** Library, **Davis**
Davis, California 95616
Marilyn Sharrow, Univ. Librarian
(916) 752-2110

University of **California, Irvine**
The University Library
P.O. Box l9557
Irvine, California 92713
Calvin J. Boyer, University Librarian
(714) 856-5212

University of **California** Library, **Los Angeles**
Los Angeles, California 90024
Russell Shank, Librarian
(213) 825-1201

University of **California** Library, **Riverside**
P.O. Box 5900
Riverside, California 92517
James Thompson, Univ. Librarian
(714) 787-3221

University of **California, San Diego**
The University Library
La Jolla, California 92037
Dorothy Gregor, Univ. Librarian
(619) 534-3061

University of **California, Santa Barbara**
The University Library
Santa Barbara, California 93106
Joseph A. Boissé, Librarian
(805) 961-3256

Canada Institute for Scientific & Technical Information
National Research Council of Canada
Ottawa, Canada K1A OS2
Elmer V. Smith, Director
(613) 993-2341

Case Western Reserve University Libraries
Cleveland, Ohio 44106
Susan Coté, Director
(216) 368-2990

Center for Research Libraries
6050 South Kenwood Avenue
Chicago, Illinois 60637
Donald B. Simpson, President
(312) 955-4545

University of **Chicago** Library
Chicago, Illinois 60637
Martin D. Runkle, Director
(312) 702-8744

University of **Cincinnati** Libraries
Cincinnati, Ohio 45221
Linda B. Cain, Dean and University Librarian
(513) 475-2218

University of **Colorado** Library
Boulder, Colorado 80309
Clyde Walton, Director
(303) 492-7511

Colorado State University Library
Fort Collins, Colorado 80523
Joan Chambers, Director
(303) 491-1833

Columbia University Libraries
New York, New York 10027
Paula T. Kaufman, Acting Vice President for Infor. Services & Univ. Libn.
(212) 280-2247

University of **Connecticut** Library
Storrs, Connecticut 06268
Norman D. Stevens, Director
(203) 486-2219

Cornell University Libraries
Ithaca, New York 14850
Alain Seznec, Univ. Libn.
(607) 255-3689

Dartmouth College Libraries
Hanover, New Hampshire 03755
Margaret A. Otto, Librarian
(603) 646-2235

University of **Delaware** Library
Newark, Delaware 19717-5267
Susan Brynteson, Director
(302) 451-2231

Duke University Libraries
Durham, North Carolina 27706
Jerry Campbell, Univ. Libn.
(919) 684-2034

Emory University Library
Atlanta, Georgia 30322
Lawrence J. Kipp, Interim Director of Libraries
(404) 727-6861

University of **Florida** Libraries
Gainesville, Florida 32603
Dale Canelas, Director
(904) 392-0342

Florida State University Library
Tallahassee, Florida 32306
Charles E. Miller, Director
(904) 644-5211

Georgetown University Library
Washington, D.C. 20007
Joseph E. Jeffs, Director
(202) 625-4095

University of **Georgia** Libraries
Athens, Georgia 30601
Bonnie J. Clemens, Acting Director
(404) 542-2716

Georgia Institute of Technology
Price Gilbert Memorial Library
Atlanta, Georgia 30332
Miriam Drake, Director
(404) 894-4510

University of **Guelph** Library
Guelph, Ontario, Canada N1G 2W1
John Black, Chief Librarian
(519) 824-4120

Harvard University Library
Wadsworth House
Cambridge, Massachusetts 02138
Sidney Verba, Director
(617) 495-3650

University of **Hawaii** Library
2550 The Mall
Honolulu, Hawaii 96822
John R. Haak, Director
(808) 948-7205

University of **Houston** Libraries
Houston, Texas 77004
Robin Downes, Director
(713) 749-4241

Howard University Libraries
500 Harvard Place, N.W.
Box 1059
Washington, D.C. 20059
Dorothy M. Haith, Director
(202) 636-7234

University of **Illinois** Library
1408 West Gregory Drive
Urbana, Illinois 61801
David Bishop, University Libn.
(217) 333-0790

Indiana University Libraries
Bloomington, Indiana 47405
Elaine F. Sloan, Dean of Univ. Librs.
(812) 335-3404

University of **Iowa** Libraries
Iowa City, Iowa 52242
Sheila Creth, Director
(319) 335-5868

Iowa State University Library
Ames, Iowa 50011
Warren B. Kuhn, Dean of Lib. Services
(515) 294-1442

Johns Hopkins University Library
The Milton S. Eisenhower Library
Baltimore, Maryland 21218
Susan K. Martin, Librarian
(301) 338-8325

University of **Kansas** Library
Lawrence, Kansas 66044
James Ranz, Dean of Libraries
(913) 864-3601

University of **Kentucky** Libraries
Lexington, Kentucky 40506
Paul A. Willis, Director
(606) 257-3801

Kent State University Libraries
Room 300
Kent, Ohio 44242
Don Tolliver, Director
(216) 672-2962

Laval University Library
Cité Universitaire
Québec, Canada G1K 7P4
Céline R. Cartier, Director
(418) 656-2008

Library of Congress
Washington, D.C. 20540
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(202) 287-5205

Linda Hall Library
Kansas City, Missouri 64110
Louis E. Martin, Director
(816) 363-4600

Louisiana State University Library
Baton Rouge, Louisiana 70803
Sharon Hogan, Director
(504) 388-2217

McGill University Library
3459 McTavish Street
Montreal, Canada H3A 1Y1
Eric Ormsby, Director
(514) 398-4677

McMaster University Library
1280 Main Street West
Hamilton, Ontario, Canada L8S 4L6
Graham R. Hill, University Librarian
(416) 525-9140 Local 4359

The University of **Manitoba** Libraries
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Canada
Earl Ferguson, Director
(204) 474-9881

University of **Maryland** Library
College Park, Maryland 20742
H. Joanne Harrar, Librarian
(301) 454-3011

University of **Massachusetts** Libraries
Amherst, Massachusetts 01003
Richard J. Talbot, Director
(413) 545-0284

Massachusetts Inst. of Technology Libs.
Cambridge, Massachusetts 02139
Jay K. Lucker, Director
(617) 253-5651

University of **Miami** Library
P.O. Box 248214
Coral Gables, Florida 33124
Frank Rodgers, Director
(305) 284-3551

University of **Michigan** Library
Ann Arbor, Michigan 48109
Richard M. Dougherty, Director
(313) 764-9356

Michigan State University Library
East Lansing, Michigan 48823
Richard E. Chapin, Director
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University of **Minnesota** Libraries
Minneapolis, Minnesota 55455
John Howe, Interim Director
(612) 624-4520

University of **Missouri** Library
Ellis Library - Room 104
Columbia, Missouri 65201
Thomas W. Shaughnessy, Director
(314) 882-4701

National Agricultural Library
Beltsville, Maryland 20705
Joseph H. Howard, Director
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National Library of Canada
395 Wellington Street
Ottawa, Ont., Canada K1A 0N4
Marianne Scott, National Librarian
(613) 996-1623

National Library of Medicine
Bethesda, Maryland 20894
Donald A. Lindberg, Director
(301) 496-6221

University of **Nebraska**-Lincoln
The University Libraries
Lincoln, Nebraska 68588-0410
Kent Hendrickson, Dean of Librs.
(402) 472-2526

The **Newberry Library**
60 West Walton Street
Chicago, Illinois 60610
Charles Cullen, President
(312) 943-9090

The University of **New Mexico**
Zimmerman Library
Albuquerque, New Mexico 87131
Robert L. Migneault, Dean of
Library Services
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New York Public Library
Fifth Avenue at 42nd Street
New York, New York 10018
Paul Fasana, Director of
the Research Libraries
(212) 930-0708

New York State Library
Cultural Education Center
Empire State Plaza
Albany, New York 12234
Jerome Yavarkovsky, Director
(518) 474-5930

New York University Libraries
70 Washington Square South
New York, New York 10012
Carlton C. Rochell, Dean of Libraries
(212) 998-2444

University of **North Carolina** Libraries
Chapel Hill, North Carolina 27515
James F. Govan, University Librarian
(919) 962-1301

North Carolina State University
D.H. Hill Library
Box 7111
Raleigh, North Carolina 27695-7111
Susan K. Nutter, Director
(919) 737-2843

Northwestern University Libraries
Evanston, Illinois 60201
John P. McGowan, Librarian
(312) 491-7640

University of **Notre Dame** Libraries
Notre Dame, Indiana 46556
Robert C. Miller, Director
(219) 239-5252

Ohio State University Libraries
Columbus, Ohio 43210
William J. Studer, Director
(614) 292-4241

University of **Oklahoma** Library
Norman, Oklahoma 73069
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Oklahoma State University Library
Stillwater, Oklahoma 74078
Edward R. Johnson
Dean of Library Services
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University of **Oregon** Library
Eugene, Oregon 97403-1299
George W. Shipman, Univ. Libn.
(503) 686-3056

University of **Pennsylvania** Libraries
Philadelphia, Pennsylvania 19104
Joan I. Gotwals, Acting Director
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Pennsylvania State University Library
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Stuart Forth, Dean of Univ. Libraries
(814) 865-0401

University of **Pittsburgh** Libraries
271 Hillman Library
Pittsburgh, Pennsylvania 15260
Anne Woodsworth, Assoc. Provost
for Libraries
(412) 648-7710

Princeton University Library
Princeton, New Jersey 08540
Donald Koepp, University Librarian
(609) 452-3170

Purdue University Library
Lafayette, Indiana 47907
Joseph M. Dagnese, Director
(317) 494-2900

Queen's University
Douglas Library
Kingston, Canada K7L 5C4
Margot B. McBurney, Chief Libn.
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Rice University Library
6100 S. Main, Box 1892
Houston, Texas 77251-1892
Samuel Carrington, Director
(713) 527-4022

University of **Rochester** Libraries
Rochester, New York 14627
James F. Wyatt, Director
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Rutgers University Library
New Brunswick, New Jersey 08901
Joanne R. Euster
University Librarian
(201) 932-7505

University of **Saskatchewan**
Saskatoon, Canada S7N OWO
Paul Wiens, University Libn.
and Director of Libraries
(306) 966-5927

Smithsonian Institution Libraries
Constitution Avenue at 10th St., N.W.
Washington, D.C. 20560
Vija Karklins, Acting Director
(202) 357-2240

University of **South Carolina** Libraries
Columbia, South Carolina 29208
Kenneth E. Toombs, Director of Libs.
(803) 777-3142

University of **Southern California** Library
Los Angeles, California 90089-0182
Charles R. Ritcheson, Librarian
(213) 743-2543

Southern Illinois University Library
Carbondale, Illinois 62901
Kenneth G. Peterson, Dean of Library Affairs
(618) 453-2522

Stanford University Libraries
Green Library
Stanford, California 94305
David C. Weber, Director
(415) 723-2015

State University of New York at Albany Libraries
1400 Washington Avenue
Albany, New York 12222
Joseph Z. Nitecki, Director
(518) 442-3568

State University of New York at Buffalo Libraries
432 Capen Hall
Buffalo, New York 14260
Barbara von Wahlde, Assoc. Vice President for Univ. Libraries
(716) 636-2967

State University of New York at Stony Brook Library
Stony Brook, New York 11794
John B. Smith, Director & Dean of Lib.
(516) 632-7100

Syracuse University Libraries
Syracuse, New York 13244-2010
David H. Stam, University Librarian
(315) 423-2574

Temple University Library
Paley Library
Philadelphia, Pennsylvania 19122
James Myers, Director
(215) 787-8231

University of **Tennessee** Libraries
Knoxville, Tennessee 37996-1000
Donald R. Hunt, Director
(615) 974-4127

University of **Texas** Libraries
Austin, Texas 78713-7330
Harold W. Billings, Director
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Texas A&M University Library
Sterling C. Evans Library
College Station, Texas 77843
Irene B. Hoadley, Director
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University of **Toronto** Libraries
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Carole Moore, Chief Librarian
(416) 978-2292

Tulane University Library
New Orleans, Louisiana 70118
Philip E. Leinbach, Librarian
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University of **Utah** Libraries
Salt Lake City, Utah 84112
Roger K. Hanson, Director
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Vanderbilt University Library
419 21st Avenue South
Nashville, Tennessee 37203
Malcolm Getz, Assoc. Provost for Infor. Services
(615) 322-7100

University of **Virginia**
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Charlottesville, Virginia 22901
Ray Frantz, Jr., Librarian
(804) 924-3026 or 7849

Virginia Polytechnic Inst. and State Univ.
Blacksburg, Virginia 24061
Paul Gherman, Director of Librs.
(703) 961-5593

University of **Washington** Library
Seattle, Washington 98194-5610
Merle N. Boylan, Director
(206) 543-1760

Washington State University Library
Pullman, Washington 99163
Maureen Pastine, Director of Libraries
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St. Louis, Missouri 63130
Bernard Reams, Acting Director of Libraries
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Wayne State University Libraries
Detroit, Michigan 48202
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DB Weldon Library
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(519) 661-3165

University of **Wisconsin** Libraries
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Madison, Wisconsin 53706
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New Haven, Connecticut 06520
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